

# **ARI Working Papers**

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**Executive Development Research Group**

**1987-1988**

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# Executive Development Research Group

## Working Paper

88-02

LEADER DEVELOPMENT COURSE  
"LEADERSHIP FOR THE 90's" PROJECT - MODULES 1-10

Major Lawrence R. Boice and Mr. James T. Maguire

November 1987

Approved for Distribution to Sponsor or Proponent.

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PB 92-23

## MODULE 1

## DAY 1

TIME	EVENT	MATERIALS	TRAINER
0800	PE 1.1. Getting Acquainted: Leader to Leader		
0830	Adult Learning & Process/Content Models	Prepared charts 1.1, 1.2	
0840	Review of Course Orientation		
	a. Purpose & Goals	Prepared charts 1.3, 1.4	
	b. Guidelines	Prepared chart 1.5	
	c. Leader's Problem	Prepared chart 1.6	
	d. Training Logic	Prepared charts 1.7	
0850	Getting Out Student Expectations		
	a. PE 1.2 Expectations Exercise	Chart paper & markers	
0920	Coffee Break		
0930	Leader as Person		
	a. Ways we get information about ourselves.	Lecturette Prepared Charts	
	b. Type Characteristics Walk-Around Exercise	Prepared Charts Recording Form & Worksheet	

- c. Feedback Type  
and Scale Data
- d. MBTI: An Intro-  
duction to Type
- e. Type in Action  
Exercises
  - 1. I-E
  - 2. SF/ST/NT/NF
  - 3. J-P

Scored Instruments  
Feedback Forms

Lecturette  
Prepared Charts  
Handouts  
Blank Type Sign-up Chart

1200      Lunch Break

## EXERCISE

## GETTING ACQUAINTED: Leader to Leader

## GOALS

- I. To help students get to know one another better.
- II. To explore feelings which occur when acting "as another person."
- III. Experience sharing personal information, traits, and goals.
- IV. Emphasize the need for careful, active listening during conversation.
- V. Begin exploring the variability of meaning around the concept of leader/leadership.

## GROUP SIZE

Minimum of eight up to a maximum of twenty-five persons.

## TIME REQUIRED

Minimum of thirty minutes.

## PHYSICAL SETTING

Space large enough to accommodate students talking freely in pairs. In the event of an uneven number of students, at the trainers' option one triad may be employed with "A" reporting out for "B", "B" for "C", and "C" for "A"; or a trainer may participate with the unpaired student.

## PROCESS

I. Students are arranged in a horseshoe around the trainer. The trainer asks them to think about themselves as persons, soldiers, leaders, and new members of their unit. The trainer asks them to think about:

1. What is important for others to know about me that they probably don't yet know?
2. What do I like about "soldiering"?
3. What do I value in a leader?
4. What do I want to be known for as a member of this unit, i.e. what are my goals for this assignment?

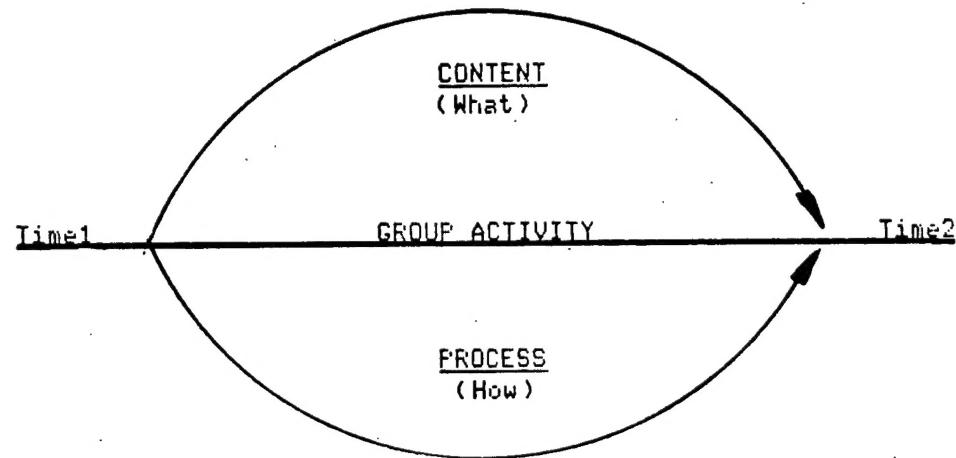
Students are paired and the trainer instructs them to get to know each other for the next ten minutes. They are told to avoid demographic data (Where are

you from, are you married, etc.) and to try to find out what kinds of characteristics, likes and dislikes, values, goals the interviewee has. They are told that "this is an exercise in listening and interviewing, and that the person being interviewed should not volunteer too much; the interviewer should have to do some work to find out who the other is. The trainer notes that time management is the responsibility of each pair and that the goal is for each to be interviewed.

II. After the interviewing phase the pairs reform in a circle around the trainer. The students are told that they must now introduce their partner, standing behind their partner, and speaking in the first person as if they were their partner. There should be no rechecking between partners as they do the introduction. The individual being introduced should hold any comments for the discussion period. Introductions should be limited to one to two minutes.

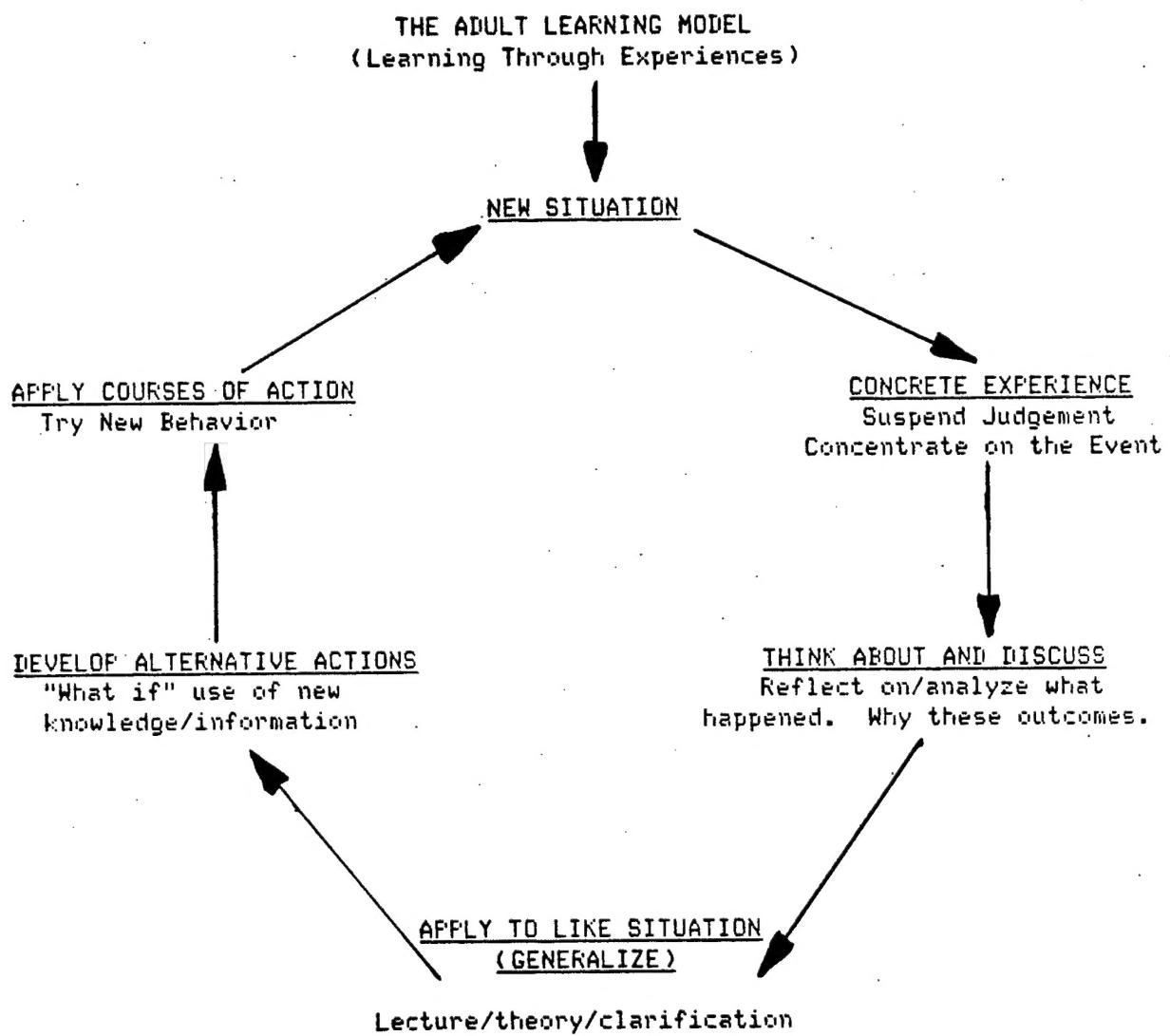
III. After the introductions have been made, the trainers lead a discussion of the exercise focusing on the feelings generated by it and on the issues inherent in the goals of the exercise. The issue that what I say about you says as much about me as it does about you should be mentioned as a stimulus to discussion. A number of issues will arise which will be dealt with in greater depth later in the training, these should be tagged and posted for future reference.

IV. In the instance where group size has reached 20+ trainers should consider dividing the group into subgroups with the subgroups reporting out to each other on what happened in their subgroup and what they learned. It must be emphasized that the subgroups are not to continue as a clique during the course and that the participants are responsible for seeking other subgroup members out and getting to know one another.

PROCESS-CONTENT MODEL OF INTERACTION

CONTENT = What is being said, the topics talked about,  
the task being worked on.

PROCESS = How things are being said/not said, how the task  
is being accomplished, the emotions in the group.



### THE ADULT LEARNING MODEL

As adults, we continue to learn even when we are not formally enrolled in a class or school. Life is our teacher. Each new situation provides us an opportunity to learn if we are open to learning and alert to what is happening. Extracting from this natural learning process, we can create new situations which bring with them opportunities for learning. We can also so organize the learning experience that learning becomes a conscious process. The Adult Learning Model is one way of organizing experiences for learning. This mode of instruction comes under a variety of names but its organization remains much the same; e.g. Laboratory Training Method, etc. Going through the model will give the student the flow of learning as it is organized in this course.

NEW SITUATION = The course itself, which is broken down into events, or

CONCRETE EXPERIENCE(S) = in which the student becomes involved in an intentional activity of some sort in which he must act, perform, say, see or do something. This activity becomes the raw materials for learning.

THINK ABOUT AND DISCUSS = Using these raw materials from the experience, students reflect on what has just happened, analyze the results, and discuss their reactions and/or observations with other students and the trainers. Each students' reaction or observation becomes refined data for further clarification.

APPLY TO LIKE SITUATIONS (GENERALIZE) = The trainer helps the students organize the data into a generalized pattern of action, relating their experiences to existing organized knowledge in the form of theories through clarifying discussion or lecturette.

DEVELOP ALTERNATIVE ACTIONS = With the experience and the pattern of action in hand, the student can compare how he acted in the situation and the results he achieved with a number of alternative ways of acting in a similar situation and choose a way of acting that gets the wanted results.

APPLY COURSES OF ACTION = With the chosen plan of action, the student may apply the plan in the form of new ways of behaving in the relatively safe environment of the classroom where the consequences of having chosen an ineffective alternative are minimal. In effect the student can simulate a new situation and try out ways of approaching it with low risk. If the plan of action is effective and the student wants to incorporate that way of acting into his repertoire, he can practice safely until he has confidence in his outcome.

PURPOSES [OUTCOMES]

- \* CHALLENGE SOME BELIEFS LEADERS HOLD ABOUT LEADERSHIP
- \* INCREASE LEADER'S KNOWLEDGE OF WHAT ADDS TO AND DETRACTS FROM COHESION
- \* TRAIN SKILLS THAT ADD TO COHESION

GOALS

- I. TO LEARN THE PROCESS OF DEVELOPING AND SUSTAINING A COHESIVE WORK GROUP/COMBAT TEAM
- II. TO LEARN SPECIFIC SKILLS WHICH ENABLE SMALL UNIT LEADERS TO BE MORE EFFECTIVE WORK GROUP/COMBAT TEAM MEMBERS
- III. TO LEARN APPROPRIATE APPLICATION OF LEADERSHIP SKILLS IN VARYING SITUATIONS
- IV. TO UNDERSTAND THE ROLE OF SMALL COMBAT UNITS AS SUBSYSTEMS OF LARGER ORGANIZATIONS

GUIDELINES FOR LEARNING

KEEP FOCUSED ON WHAT IS GOING ON HERE AND NOW

OPEN TO NEW WAYS OF DOING THINGS,  
AND THINKING ABOUT THINGS

YOU ARE RESPONSIBLE FOR YOUR OWN SELF-DISCLOSURE

RESPECT OTHERS RIGHT TO LEARN

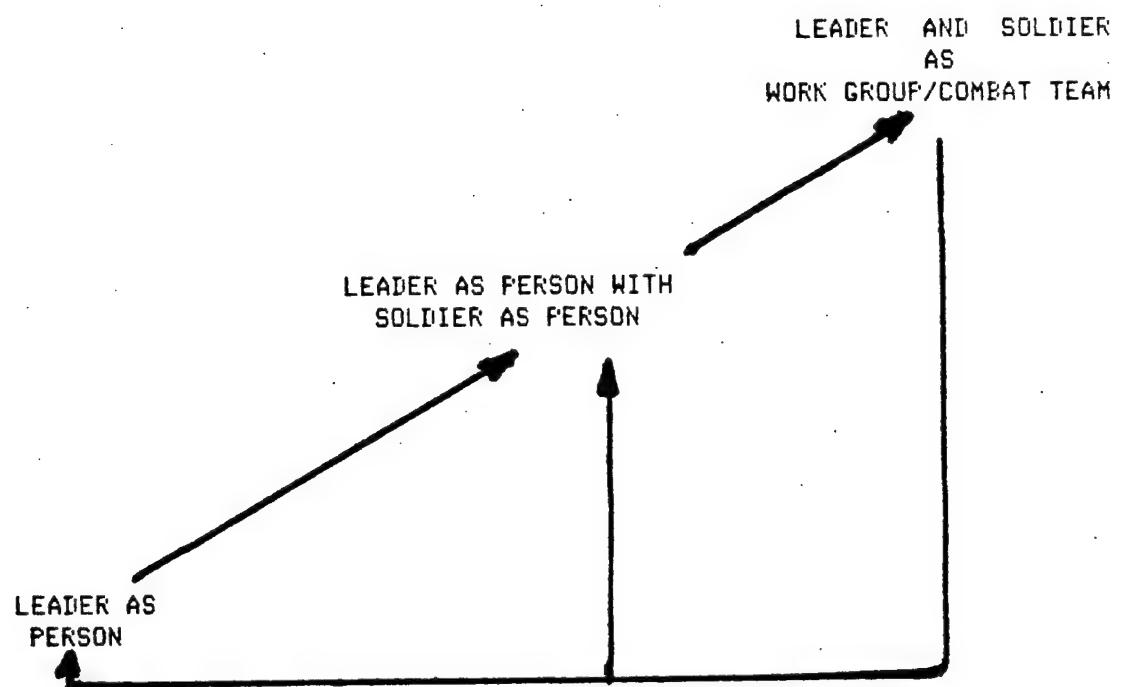
PARTICIPATE, WHAT YOU GET OUT OF THIS IS  
RELATED TO WHAT YOU PUT INTO THE COURSE

WHAT IS SAID, OR DONE IN THE CLASSROOM STAYS IN THE  
CLASSROOM; IT BELONGS TO THIS CLASS ALONE. KEEP CONFIDENTIALITY.

THE COHORT UNIT LEADERS' DUAL PROBLEM

- \*INTEGRATE CHAIN OF COMMAND WITH HORIZONTALLY BONDED GROUP OF COHORT SOLDIERS
- \* DEVELOP AND SUSTAIN COHESION IN THE VERTICALLY AND HORIZONTALLY BONDED COMBAT UNIT

LOGIC FLOW



## EXERCISE

## EXPECTATIONS BRAINSTORM

## GOALS

- I. To legitimize personal expectations for learning.
- II. To clarify what will and will not be covered in this course in terms of these personal expectations.
- III. To provide group members with an initial experience in the participative mode of instruction.
- IV. To model leader behaviors that demonstrate pursuit of organizational ends (course goals) while taking group members' personal goals and concerns into account to the extent possible.

## GROUP SIZE

Minimum of seven up to twenty-five persons.

## TIME REQUIRED

Minimum of ten to a maximum of twenty minutes.

## PHYSICAL SETTING

Group members arranged in a horseshoe configuration with the open end toward the trainer(s) and the easel/blackboard.

## PROCESS

I. The group is brought together by the trainers and formed in a horseshoe around the easel or blackboard. The trainer asks that the group members reflect on what they understand about the course and what they would like to come away with from the course. The trainer explains the process of brainstorming and asks that the group members announce their expectations (fears and/or concerns) for the course. These are recorded on the easel as they flow from the group and without comment or evaluation. It is critical that the words coming from the group are accurately recorded. If paraphrasing is done, be sure to secure the agreement of the author that the paraphrased version is accurate and does not compromise the author's intent.

II. The trainers analyze the group output in terms of whether and how the course will meet the individual expectations of the group members. The analysis takes place out in the open in interaction with the group. When an expectation will be met by the course, the trainer refers to the course schedule where that meeting of an expectation will occur. In the likely event that some reasonable expectations will fall outside the structure of the course, make provisions for getting that need met. In the event that it is appropriate and the trainer has the competency and resources to modify

the course to cover that expectation, it should be done. Provision for doing outside work may be offered if the trainer wishes to volunteer time and has something of value to give, but that is a trainer option and not an obligation. Probably the most effective way to handle some of these expectations is to tap into the resources within the group itself. The trainer has a role here to clarify what is being asked of the group, if the group or one or some of its members can and will assist, and to help the parties decide where, how and when this will take place, whether within or outside of course time. In effect, facilitating and ratifying a contract to get this expectation met. There may be expectations that cannot be met in the course or from within trainer or group resources. In such an event make a referral to an appropriate resource. The worst thing that can be done is to discount or ignore an expectation.

III. Fears and concerns about what may happen in the course are often expressed in terms of expectations: e.g. "I expect to be made fun of, or embarrassed." Being alert to signals even less blatant than the example is essential. Trainer judgement will dictate whether to reassure and push on or whether to stop and deal more intensively with an issue. In the majority of cases naming the fear or concern and recording it, and providing reassurance is sufficient.

IV. What are your individual goals for this cohort unit for the next 6 months, 1 year, 3 years? List 2-4 goals for each time period.

### WAYS WE GET INFORMATION ABOUT OURSELVES

If we really paid attention to the signs, we would find that we live in a rich broth of information about ourselves. We are constantly getting signals/feedback on what we do or don't do, and how we do or don't do it. We also give ourselves feedback on what we think or feel about what we just did, or didn't do. We are often our own worst critic and on occasion the only ones who care to give ourselves a deserved pat-on-the-back. We all have experienced how getting constructive feedback can help us learn or do a better job, and that's rewarding. We also have had those times when the signal coming back was not constructive, reflecting something about the sender's ability to give feedback or their understanding of who we are or what we did. Of course, there are those times when the signal was really intended to be destructive and we learn nothing about ourselves and a lot about the sender. Finally, there are formal ways of getting information to increase our self-knowledge, such as psychological tests, after-action reviews, performance counselling, and annual evaluation reports.

Self-knowledge can be a valuable tool for use in developing ourselves as leaders, but, like any tool, there are skills to be learned in order to get the full benefit from its use. This part of the course is designed to develop skills that will help us gain in self-knowledge and use this knowledge as a leader development tool for ourselves, and then, for our subordinates.

At this point you ought to be wondering and questioning just how increased self-knowledge can help you develop as a leader. We'll give one answer to those questions now, with other kinds of answers to the same questions later in the course. We begin with the assumption that the more informed a leader is about a topic, the more flexible and adaptable he can be when in a related situation. For example, the more informed a leader is about the terrain he will have to fight on the better his assessment of routes to target will be, and the better his final choice(s) will be. When it comes to the issue of choosing ways of behaving as a leader it follows that the more information I have about myself to work with the better my choices about leadership will be also.

When you put this to work in a combat unit as with any team, knowledge about self shared and understood by the other members of the team creates the ability among team members to orchestrate action with ease. As a leader, if I know the strengths and shortfalls of all my subordinates I can orchestrate action in such a way that extracts maximum strength from each member of the unit while at the same time reducing the effects of member shortfalls on unit performance. The center on a football team does not need to be the most elusive runner but he does need to be one

of the better straight ahead blockers and be able to shift quickly from the activity of passing the ball back to the quarterback without mishap to taking the charge of the nose-tackle. Also, if he knows that the guard cannot handle a red-dog as well as desireable he adjusts his own play to compensate for the guards shortfall. Were the guard to coverup his shortcoming or be blinded to it and not allow the center to help, the whole team suffers. An effective leader creates on his team the climate of sufficient openness to permit team members to call attention to ways in which they can help each other to help the team. This is not as easy as we can make it sound. People resist information about themselves for many reasons. This is normal and natural, especially in our culture and in the Army. However, the evidence clearly shows that units that are closer, more open and comfortable with each other, are more effective at what they do and survive better in combat.

The next Chart (1.8) shows four types of knowledge about self. The first, what I know and you know we call the area of open activity. It is what I share freely with the members of the unit. The larger the area of open activity among members of a unit, the more information there is about members, the more flexible and adaptable the unit will be in making decisions about deployment of human resources. The second kind of information is what I know about myself that noone else knows. This is the area of hidden knowledge and it is at the discretion of the individual to keep it hidden or to share. The holder of the information decides to what extent the hidden information detracts from personal and therefore, unit performance and is responsible for the consequences. The level of trust in the unit determines to a great extent how large this area is for each member. The third area called the blind spot is what I don't know about myself but that others do know. I am unaware of what others see clearly. The other members of the unit can decide what affect that is having on my performance and the unit's and also whether it is important that I be made aware. In making me aware they take on the responsibility of doing it in such a way that my trust with them is not put in jeopardy. The fourth area of knowledge is unknown to all. It only comes into play as insights or intuitions thereby moving from the unknown to one of the other areas of knowledge. A large portion of human activity is thought to occur at this unconscious/unobservable level but it is only important to personal or unit performance when it becomes observable in behavior.

FOUR TYPES OF KNOWLEDGE ABOUT OURSELVES

1. WHAT I KNOW ABOUT ME AND YOU KNOW ABOUT ME = OPEN
2. WHAT I KNOW ABOUT ME THAT YOU DO NOT = HIDDEN
3. WHAT YOU KNOW ABOUT ME THAT I DO NOT KNOW ABOUT MYSELF = BLIND SPOT
4. WHAT NEITHER I KNOW ABOUT ME NOR YOU KNOW ABOUT ME = UNKNOWN

## Workshop Assumptions

1. All of us have something to learn.
2. All of us have something to teach.
3. Everyone has a preferred pathway to excellence.
4. All workshop data are confidential; people will share only what they want to share.
5. We are all in this learning experience together; we are all resources to others in the group.
6. "When the student is ready, the teacher will appear."
7. Individuals can expect to gain from this experience in direct proportion to what they put into it.
8. Questions are encouraged and can be asked as they come to mind.
9. We do not have to agree; we do need to understand.
10. We will work hard, but we will have fun.
11. More time and help are available.
12. There are great variations within the sixteen personality types.
13. Personality type isn't everything.
14. When it comes to people, there are few simple answers.

Adapted with special permission from the Two-Week Life/Workshop of the National Career Development Project, Kansas City, MO, August 1980.

Using the Myers-Briggs Type Indicator in Organizations: A Resource Book. © 1985 by Consulting Psychologists Press, Inc. Permission is hereby granted to reproduce this worksheet for workshop use. Duplication for any other use, including resale, is a violation of the copyright law.

## EXERCISE

## TYPE CHARACTERISTICS WALK-AROUND: AN MBTI PRE-FEEDBACK EXERCISE

## GOALS

I. Demonstrate convergence of what people know about themselves with measured "knowledge" from MBTI scores.

II. Give participants experience with the differences between the elements of type.

## GROUP SIZE

Up to twenty-five persons.

## TIME REQUIRED

One hour and fifteen minutes.

## PHYSICAL SETTING

A room large enough to accommodate the group and with enough open space free of furniture to allow all participants to move about the room with ease.

## PROCESS

Four charts which describe the paired type characteristics are hung in the four corners of the room, Charts I-IV (Text for these charts are given next under). The charts contain unlabelled sets of descriptors. The participants are instructed to walk around the room without talking and read each chart noting on their Preference Recording Sheet which set (A or B) of characteristics on each chart they prefer (fits and does not fit for them). They are also to note whether the choice of preference was easy or difficult. This is to be done based on their own assessment and without help from others. When they have read all four charts and have recorded their preferences, they are to move to the center of the room and quietly wait for instructions.

When all are back to the center of the room have them look around the room at the four charts and make any last minute changes they feel are necessary. Next, have the participants return to their seats and the trainers pass out the Type Conversion Worksheet and tell the participants to follow the instructions for converting the data on their Preference Recording Sheet to the Type Conversion Worksheet. Have the participants keep their Type Conversion Worksheet in front of them while a trainer delivers a lecturette on the MBTI and the

uses of this kind of self-knowledge.

When the lecturette is over and the questions and answers have taken place, pass out their MBTI Results Form and their MBTI answer sheets. Have them compare the results of their selection from the charts with their Type as measured by the questionnaire. There will be some differences, especially where the choice of preference from the Charts was difficult. The trainer negotiates these differences with the participant and allows them to make the necessary changes.

## TEXT FOR CHARTS I-IV

-----  
CHART I

## PREFERENCE SET A:

My energy is pulled/directed outwards toward people and things.

I am excited by change and like being involved.

I am usually relaxed and confident around people.

I am easy to get to know and open to people.

I am quick to act in a variety of situations and usually am involved before I've given much thought to what I am doing.

My interests and associations are many.

I really prefer to be around and with people.

\*\*\*\*\*  
PREFERENCE SET B:

My energy is spent thinking about things and people, ideas and concepts.

I want to understand things for what they are and really spend a lot of time observing and thinking about what I see.

I am generally reserved and cautious and may ask questions as my way of sizing things up.

It takes awhile for me to warm up, and I am sometimes thought to be distant and unininvolved.

I prefer to think things through carefully before committing to action, I seldom jump right in.

I am comfortable being quiet, and prefer to be alone with myself a lot.

I go after things in great depth and detail, I enjoy concentrating fully on a few things or people.

## CHART II

### PREFERENCE SET A:

I am a pretty concrete, and factual person; reality for me is primarily what I experience now, I want to touch, smell, taste, hear or see it.

Details are important to me, and I'm quick to note them. I make few factual errors.

I am a practical person and seldom follow hunches.

I really like to enjoy the moment and live life as it is, the future will take care of itself.

If I learn a skill I prefer getting to use it, its not practical to learn something you will hardly ever use.

\*\*\*\*\*

### PREFERENCE SET B:

The world is full of possibilities if you are alert to them and not too bogged down in detail.

There's more to the facts than meets the eye, what they add up to is a pattern and you don't need alot of details to see it.

New ways of doing things are exciting for me. I find that something better is usually just around the corner.

Learning for the sake of learning is a big part of the way I live, it helps me be flexible and resourceful.

I look for the "big picture," details bore me.

Some of my best ideas just drop into my mind out of nowhere. I follow hunches often.

"Keep it simple" is not stimulating enough for me, I enjoy working through complex problems and situations.

### CHART III

#### PREFERENCE SET A:

When I make a decision it is important that I arrive at my decision through a process that makes logical sense.

People often defy logic, and I tend to prefer people and things that can be logically understood or reasoned out.

I look for the underlying truths or principles to guide me.

My approach to work is to be brief and businesslike. I see little place for emotions in getting work done.

If the rules make sense, they should be applied equally for everyone. That's only fair.

I am good at helping people to rationally understand their mistakes and work out how to correct them.

I take pride in solving problems and making sense out of things.

\*\*\*\*\*

#### PREFERENCE SET B:

I make decisions to a large degree based on what I feel people need at the time.

I am good around people and have a knack for helping them get along with each other.

For me being fair is not a simple matter of equally applying the rules, fairness means treating each person as an individual.

At work I try to make people feel comfortable and at ease by giving them time and attention.

I am known for being loyal and supportive and concerned about others.

When I believe in something, my enthusiasm helps push things along.

## CHART IV

### PREFERENCE SET A:

I hate to waste time, if there is a decision to be made I make it and move on.

It's important that what I do or decide is right, I am not tolerant of mistakes, mine or other peoples.

I want to do things that are worth doing, having a clear purpose is important to me.

I like to get things done and out of the way.

I prefer to be given the end result desired, then let me do the job.

I don't like having unfinished work hanging over my head.

\*\*\*\*\*

### PREFERENCE SET B:

I am seldom so intent that I miss things going on around me or overlook some possibility.

I am adaptable and value being flexible and tolerant.

I need to really prepare to start a task, and want to know as much about every aspect of it that I can.

I usually will postpone making a decision until I am as sure as I can be that I have taken everything into account. Haste makes waste.

Being flexible, I don't really mind getting involved in things on the spur of the moment.

I am curious, and can get side-tracked if something interests me.

### PREFERENCE RECORDING SHEET

As you walk around the room reading the charts, select either preference set A or B as the set which best fits you from the point of view of how you prefer to be and behave. We all will find something in each set that we do, like, etc. But we will lean toward one set more than another because it is more comfortable and appealing. Living, working, etc., will require that we operate at times opposite to our preferred way of operating. What you are to record here is what you prefer, not what you can do when you have to. Some choices may be difficult to make, record that difficulty as indicated. Remember, there are no right or wrong answers, only what you prefer.

CHART	I	II	III	IV
-------	---	----	-----	----

PREFERRED SET	A	A	A	A
---------------	---	---	---	---

(Circle an A or B for each chart)

B	B	B	B
---	---	---	---

EASY CHOICE	E	E	E	E
-------------	---	---	---	---

(Circle an E or D for each chart)

DIFFICULT CHOICE	D	D	D	D
------------------	---	---	---	---

## TYPE CONVERSION WORKSHEET

Transfer your choices from your Preference Recording Sheet to Part (i) as shown:

Below in Part (i) you will find a space to record an A or B next to the chart number of each of the four charts, for example; if you chose "B" for chart I it would be recorded in Part (i) like this:

I- \_\_\_\_\_

Transfer your choices for all four charts.

---

### Part (i). Choice Transfer:

Chart Numer/Preference Set Choice:

I- \_\_\_\_\_    II- \_\_\_\_\_    III- \_\_\_\_\_    IV- \_\_\_\_\_

---

Convert your choices recorded in Part (i) using the Type Conversion Key below and record the type conversion in Part (ii). Example: If your choice for chart I was "B", find I-B in the Type Conversion Key and write the letter to which it corresponds in the space provided, like this:

Chart I

\_\_\_\_\_ E/I

---

### Part (ii). Type Conversion:

Chart I

Chart II

Chart III

Chart IV

\_\_\_\_\_ E/I

\_\_\_\_\_ S/N

\_\_\_\_\_ T/F

\_\_\_\_\_ J/P

---

### Type Conversion Key

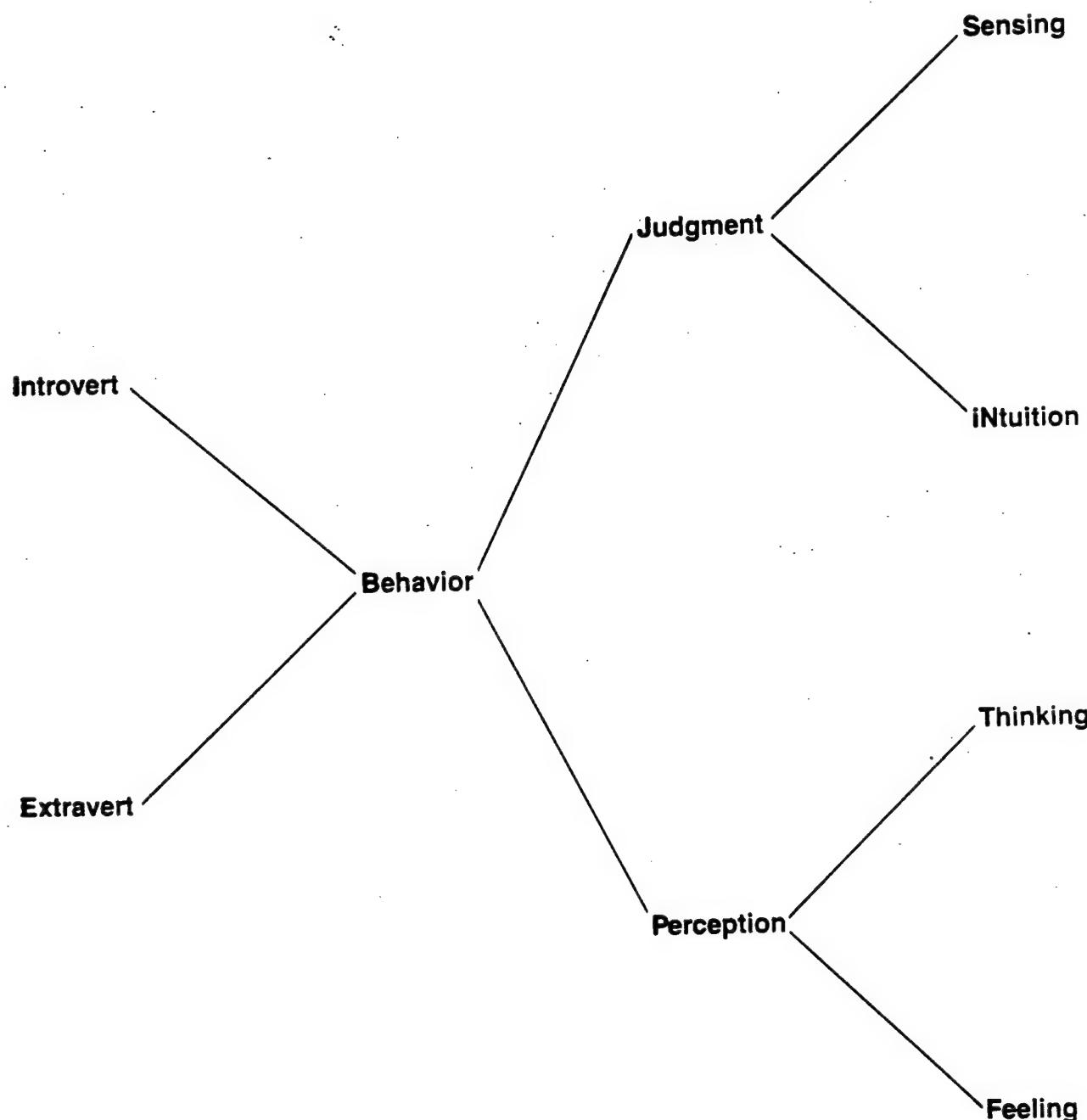
I-A = E      II-A = S      III-A = T      IV-A = J

I-B = I      II-B = N      III-B = F      IV-B = P

---

What these letters mean and how you can use them to increase your self-knowledge and improve your working relationships will be explained in the lecturette and exercises which follow.

## Model of the Four Preferences



## **Interpretation of the MBTI**

When participants complete the MBTI, the interpretation part of the workshop begins. If there has been a time lag between the administration and the interpretation, it may be necessary to repeat some of the key points from the administration session. You will probably want to use an overhead projector or chalkboard as you explain the Jungian theory and model. There are other approaches to doing an interpretation that are worthy of your consideration. Three such interpretations are described in Part 5.

One of the key parts of my approach to interpreting the MBTI is to have people try to predict their own type from the oral descriptions I give as I am explaining the Jungian theory and preferences. Often I also have them try to predict their type by selecting their preferred work environment from "Effects of Preference in a Work Environment" in *Introduction to Type*. (See Exercises 4 and 5 below.) For this reason, I generally cover these parts in the interpretation before I return the answer sheets, have people score their own answer sheets, or total their scores on the Abbreviated Version.

## **Script: History and Uses of the MBTI**

The work of Myers and Briggs was started in the 1920s by Katharine Briggs. Katharine Briggs was interested in human behavior and, through her observations and reading of biographies, developed a way to look at it. Her scheme, which was published in the *New Republic* magazine on December 26, 1926 (and reprinted in the Fall 1981 issue of the *MBTI News*), included four types: sociable, thoughtful, executive, and spontaneous.

At the same time as she was doing her research, the Swiss psychoanalyst Carl Jung developed a complementary theory of personality types. This theory was published in Jung's book *Psychological Types* in 1923. When Katharine Briggs read Jung's work, she found much similarity with her own work. Together with her daughter, Isabel Myers, she began to integrate her work with that of Jung. Beginning in the 1940s and using his theory, Katharine Briggs and Isabel Myers started to work on a paper-and-pencil inventory to help people discover more about themselves and their personality types. It was to take them over thirty years to develop such an inventory, which was called the *Myers-Briggs Type Indicator*, or MBTI.

By the time Katharine Briggs was eighty-five and her daughter, Isabel Myers, was sixty-five, they had gathered enough data to present their instrument to Educational Testing Service, known as ETS, in Princeton, New Jersey. Because of the MBTI's unorthodox development, ETS formed the Office of Special Testing to carry on further research on the

MBTI. From 1962 until 1975, when the rights to the MBTI were acquired by Consulting Psychologists Press, Inc., it was available for research purposes only. Today the MBTI is one of the largest-selling tools for self-awareness. It has been translated into several other languages, including Japanese, and is used to help people in career choices, in marriage and family counseling, and in sessions similar to the one we are in today.

## **Script: Jung's Theory—Model of the Four Preferences**

Carl Jung postulated that apparently random behavior on an individual's part is really not random at all but has a pattern to it. This pattern will reflect the person's preferences for taking in information and for making decisions. It will also reflect the world in which a person feels most comfortable—the outer world of action or the inner world of ideas. Once we know what to look for we can see that human behavior is fairly orderly and consistent over time.

Jung's concept of preferences is similar to handedness. If over time you watch my behavior with my hands, you will see that I prefer to use my right hand. I am not sure why I prefer my right hand. It has always been easy for me to use it and using it requires less energy. I want you to try an exercise with me.

[At this point, do Exercise 3.]

### **Exercise 3 Handedness (10 minutes)**

#### **Purpose**

To illustrate the point that, although a person has and can use both hands, one hand is usually preferred over the other. The preferred hand generally is more effective and efficient, used more often, relied upon more, and better developed than the other.

#### **Format**

1. The trainer demonstrates writing his or her street address on the flip chart or overhead with the preferred hand. Next the trainer writes the street address with the other hand. Ask the group for comments about the writing.
2. Have the participants repeat this procedure for themselves, that is, writing their addresses with both hands. Ask them for their comments.

#### **Notes**

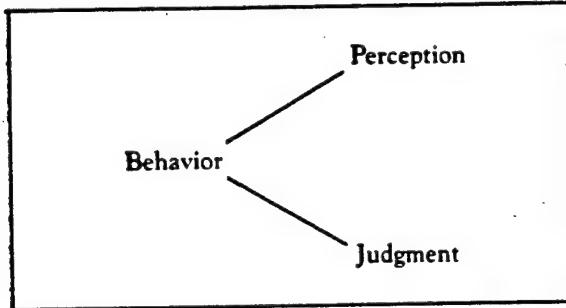
People usually respond that the work of the nonpreferred hand looks less polished, took more energy, and required more concentration and time.

As we all found out, we tend to be more effective and efficient using our preferred hand. However, we do have and do use our other hand. We were able to use it to write our street addresses.

So you see that although we have the capacity to use both hands, we generally prefer one over the other. Because we rely on one so much, it is better developed. My preference for my right hand seems to be innate. So it is with personality types. We seem to be born with preferences for how we take in information, how we reach conclusions, and which world we prefer, either inner or outer.

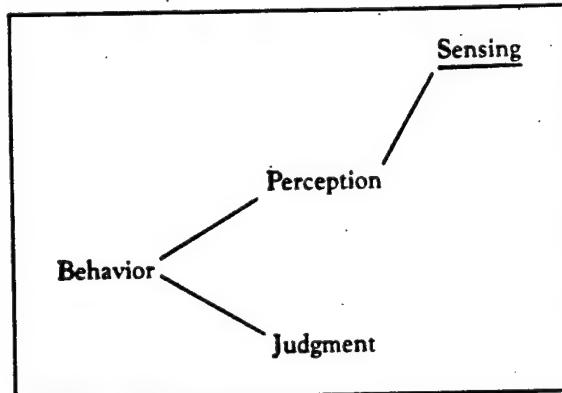
Here is a model to help explain Jung's theory.

[Use a flip chart or chalkboard to display the following model, completing it as you go through the script. The completed model also appears as Reproducible Master 6 and can be distributed or displayed as an overhead.]

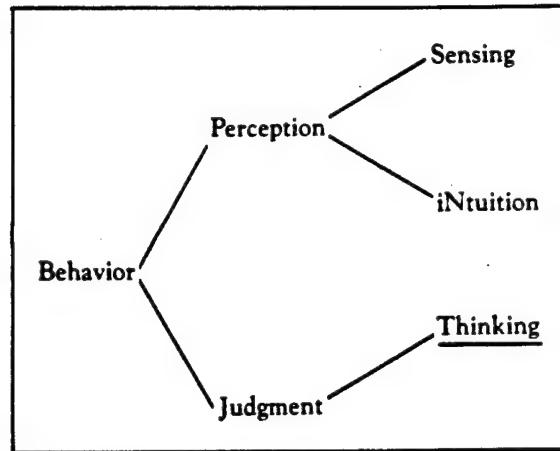
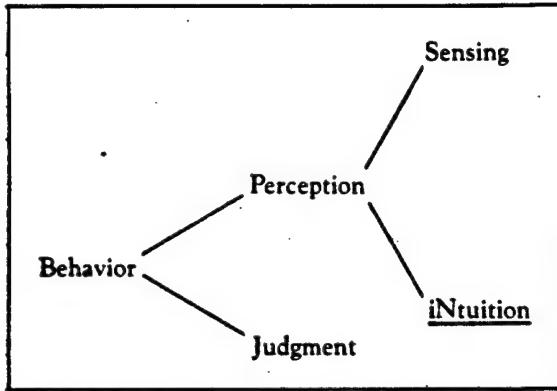


An individual's behavior is a result of his or her preference for taking in information (perception) and preference for coming to conclusions (judgment). We all do both. Just as we have two hands,

but prefer one over the other, we use both our perception and our judgment. We also have a preference for how much time we spend in taking in information and perceiving the world and how much time we spend making decisions or judgments about that information. We will talk more about the specifics of perception and judgment preferences later on.



Now when it comes to taking in information, that is, when we perceive the world, we make another selection. Some of us will choose to rely on our five senses: taste, touch, sight, smell, and hearing. We know something about the world because we've experienced it directly through our senses. We trust that kind of data.

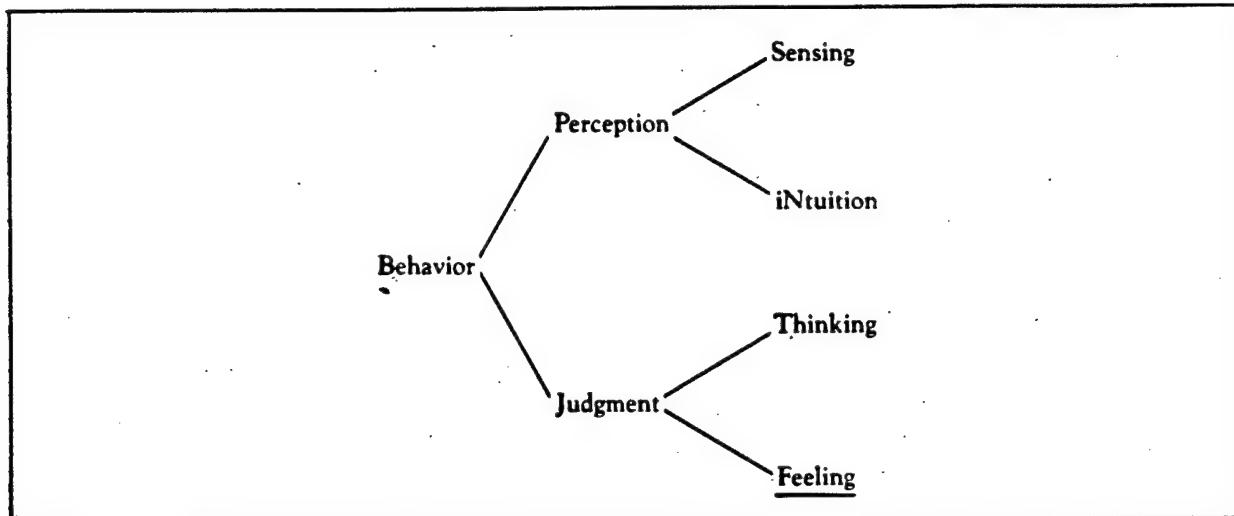


On the other hand, some of us have a preference for taking in information that we glean through our sixth sense—our intuition, our “gut feeling,” our hunches. We prefer to see things as they could be rather than as they are. We like possibilities and value information that comes to us through our intuition.

So looking at our model, we see a choice point for sensing or intuition. (Myers used the letter *N* to symbolize intuition because the letter *I* is used for another concept of the Jungian theory, that of introversion, so I have capitalized the letter *N* in intuition.)

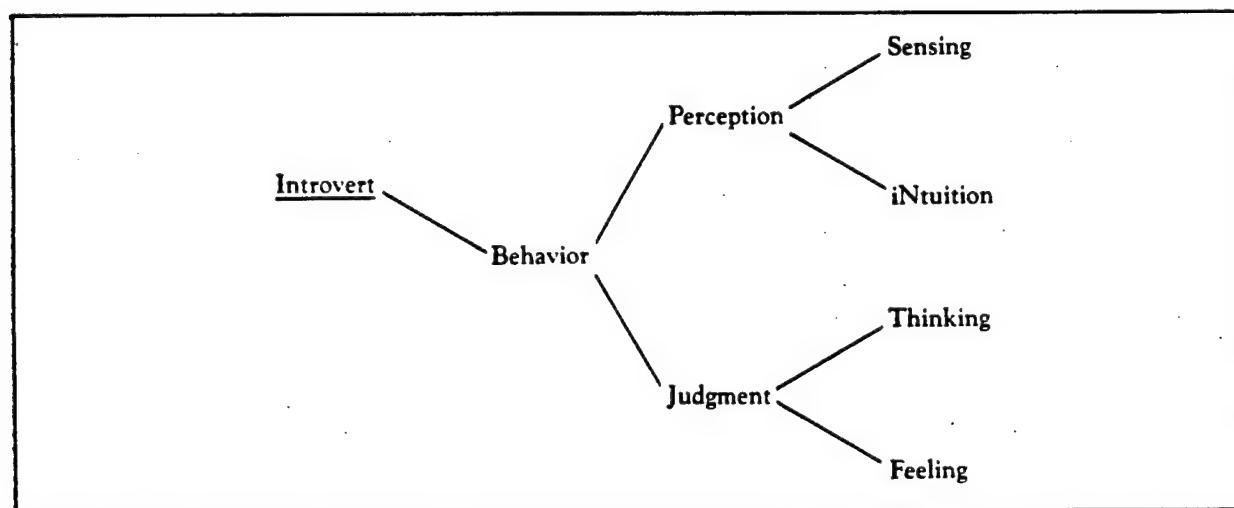
We all use both our senses and our intuition to take in information about our world. However, we will trust and rely on one and tend to prefer it over the other.

Just as there is a preference for how we take in information, there is also a preference for how we come to conclusions or judgments. When it comes to making a decision, some of us will prefer what is called our “thinking” function. We tend to decide things impersonally based on analysis and principle. People with a thinking preference place a premium on fairness.



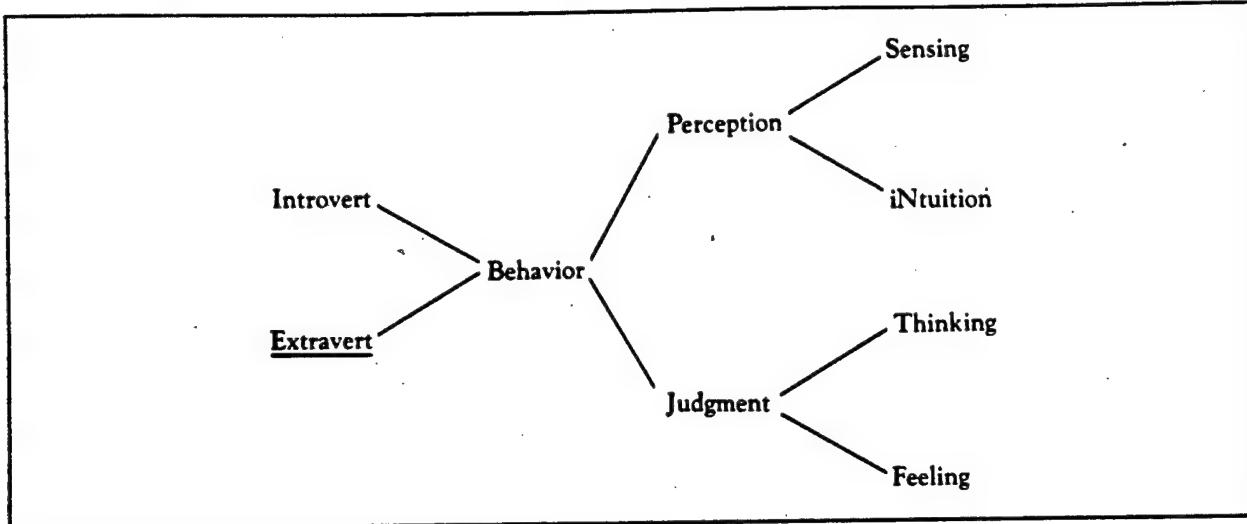
Some of us will make decisions by valuing alternatives. This is called the "feeling" function. Those of us who have feeling as a preference tend to make decisions and judgments based on liking or disliking, on our values, or on the impact of the decision on people. People with a feeling preference place a premium on harmony.

We all use both our thinking function and our feeling function to come to decisions, but, again, we have a preference for one over the other.



A final part of Jung's theory concerns the concepts of introversion and extraversion. This preference tells us where we go to get energy. Introverts find

energy in their inner world of ideas, concepts, and abstractions. They have a rich inner life and therefore seem to require less of the outside world.



Extraverts find energy in things and people in the world outside of themselves. They are pulled by this outer life of action and spend less time with thoughts and concepts. Remember, however, that we can be both extraverted and introverted—it's all a matter of preference.

The four choices (Perception vs. Judgment, Sensing vs. iNtuition, Thinking vs. Feeling, and Introversion vs. Extraversion) become the basis of the

sixteen personality types. Each of the personality types is identified by the first letter of each of the preferences (with the exception of intuition, which uses an N to identify it). Thus someone with a preference for introversion, sensing, feeling, and perception, would be identified as an ISFP.

## Comparison of Extraversion and Introversion

Extraversion — + — Introversion

### Energy

directed outward toward people and things

directed inward toward concepts and ideas

### Focus

wants to change the world  
civilizing genius

wants to understand the world  
cultural genius

### Attitude

relaxed and confident  
understandable and accessible

reserved and questioning  
subtle and impenetrable

### Orientation

afterthinkers

forethinkers

### Work Environment

varied and action-oriented  
prefers to be around and with others  
interests have breadth

quiet and concentrated  
prefers to be alone  
interests have depth

## Comparison of Sensing and Intuition

Sensing — + — Intuition

### Mode of Perception

five senses  
(experience)

"sixth sense"  
(possibilities)

### Focus

details  
practicality  
reality  
present enjoyment

patterns  
innovation  
expectation  
future achievement

### Orientation

live life as it is

change, rearrange life

### Work Environment

prefers using learned skills  
pays attention to details  
patient with details and makes few  
factual errors

prefers adding new skills  
looks at the "big picture"  
patient with complexity

## Comparison of Thinking and Feeling

Thinking ————— + ————— Feeling

### Focus

logic of a situation	human values and needs
things	people
truth	tact
principles	harmony

### Work Environment

brief and businesslike	naturally friendly
impersonal	personal
treats others fairly	treats others as they need to be treated

### Contribution to Society

intellectual criticism	loyal support
exposure of wrongs	care and concern for others
solutions to problems	zest and enthusiasm

## Comparison of Judging and Perception

Judgment — + — Perception

### Attitude

decisive	curious
planful	spontaneous
be right	miss nothing
self-regimented	flexible
purposeful	adaptable
exacting	tolerant

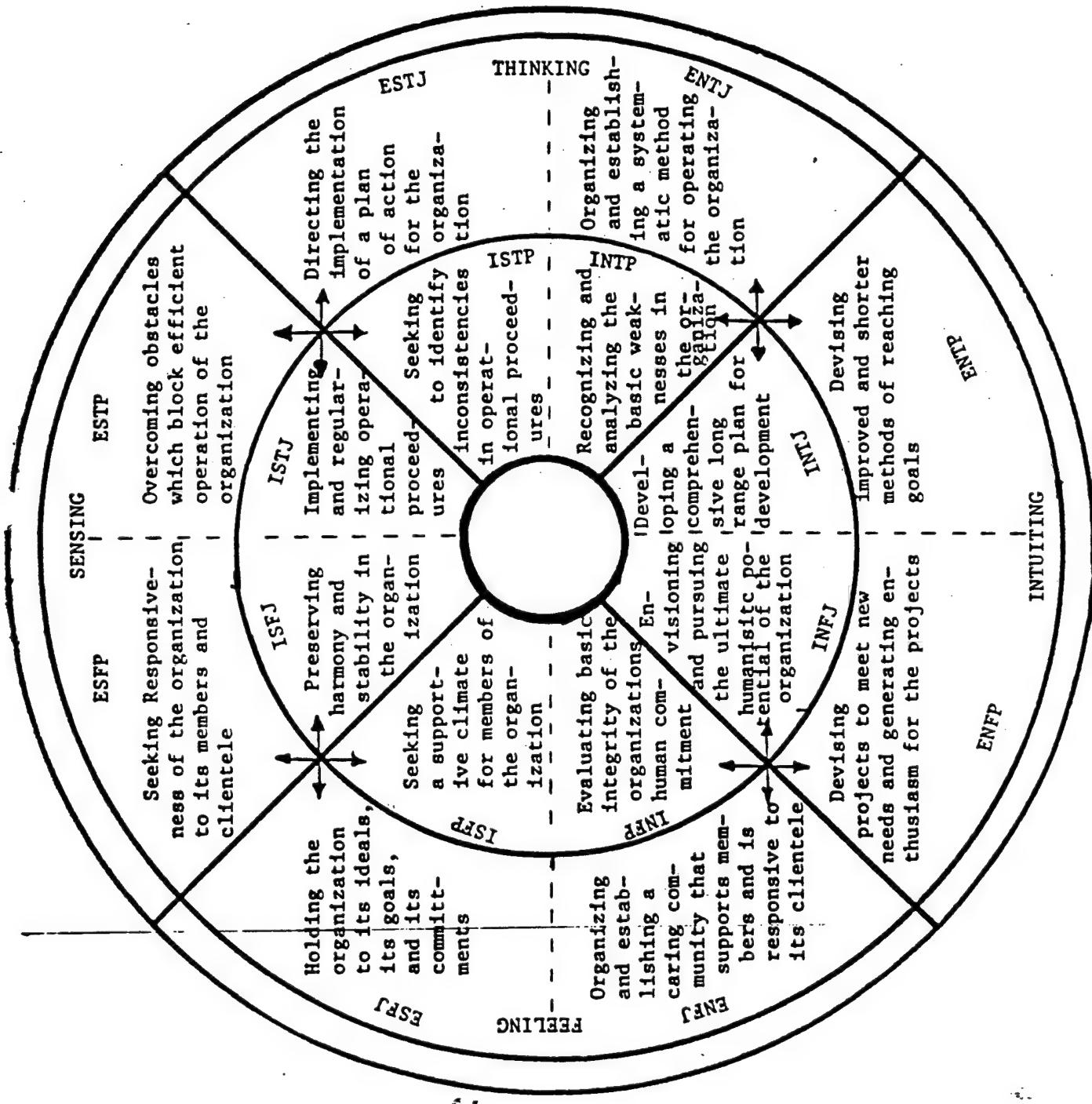
### Work Environment

focus on completing task	focus on starting task
makes decisions quickly	postpones decisions
wants only the essentials of the job	wants to find out all about the job

**Type Table**

<b>ISTJ</b>	<b>ISFJ</b>	<b>INFJ</b>	<b>INTJ</b>
<b>ISTP</b>	<b>ISFP</b>	<b>INFP</b>	<b>INTP</b>
<b>ESTP</b>	<b>ESFP</b>	<b>ENFP</b>	<b>ENTP</b>
<b>ESTJ</b>	<b>ESFJ</b>	<b>ENFJ</b>	<b>ENTJ</b>

**CONTRIBUTIONS OF PERSONALITY FUNCTION**      'ORGANIZATIONAL DEVELOPMENT'



## LEARNING STYLES

### SF

self-understanding and relating to others  
content secondary to interaction with others  
works best when emotionally involved in subject matter  
enjoys group learning  
  
sensitive to negative criticism  
Does this make sense in light of my own experience?  
needs warm, friendly, supportive environment  
seeks self-knowledge through relationships with others

### ST

knowledge and skills  
focus on mastery of set of skills  
works best when knows exactly what is expected  
enjoys purposeful activities with tangible results  
thrives on competition  
Is this useful to me in my daily life?  
needs clearly structured environment  
seeks practical solutions to immediate problems through action

### NF

value development, search for universal meaning  
focus on personal/ultimate values, creative and aesthetic expression  
works best when motivated by own interests  
enjoys creative activities which allow use of imagination  
enthusiastic about sharing ideas with others  
What would happen if...?  
needs flexibility within changing environment  
seeks future possibilities and alternatives for self and humankind

### NT

critical thinking, concept development  
focus on intellectual challenge and independent thinking  
  
works best independently and without time pressure  
enjoys discovery method of learning  
sets high standards for self and others  
Why is it this way?  
needs freedom within intellectual and stimulating environment  
seeks wisdom and understanding through critical analysis

# **Executive Development Research Group**

## **Working Paper**

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LDR 90

LEADER DEVELOPMENT COURSE

"LEADERSHIP FOR THE 90'S" PROJECT

MODULE 2: COMMUNICATION SKILLS

(MODULE 2 OF 10 MODULES)

Lawrence R. Boice and James T. Maguire

Army Research Institute

30 November 1987

**Manpower and Personnel Research Laboratory**



**U. S. Army Research Institute  
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## MODULE 2

## DAY 1

TIME	EVENT	MATERIALS	TRAINER
1300	PE 2.1 "Chain of Command"	Prepared chart (message)	
1330	Communication modes and congruence	Prepared charts 2.1, 2.2 Lecturette	
1400	Responsible and Effective feedback	Prepared chart 2.3 Lecturette	
1500	Active Listening	Prepared charts 2.4, 2.5	
1600	Conflict Management	Prepared chart 2.6 Lecturette	
1630	Review of module	Prepared chart 2.7	

MODULE 2

TIME: 4 hours

I. Title of Unit: COMMUNICATION WITH OTHERS

II. Behavioral objectives:

- A. To develop a full understanding of the need for active listening skills and congruent sending skills as basic building blocks upon which to build and sustain a cohesive small unit.
- B. To develop the ability to use the technique of active listening in order to encourage another to say more and to accurately understand another's message or position.
- C. To develop the ability to communicate non-defensively, directly and accurately with others.
- D. To develop the ability to communicate, congruently, the same message verbally and non-verbally.
- E. To develop ability to give, solicit, and receive responsible and effective feedback in order to improve as a leader and as a group member.
- F. To develop the ability to manage conflict in a responsible manner.

III. Example of why this training is needed:

2LT: "The company commander told me to square something away in my platoon, but I didn't understand what he said, exactly. If I ask for clarification, he will think I am dumb, so I will just tell the platoon to get things squared away and just hope they make the right correction."

IV. Method:

- A. Conduct "Chain of command" communications exercise.  
(30 minutes)
- B. Communications skills
  - 1. Conduct SUBMODULE 2B-1: Communications model, modes, and congruence. (20 minutes)
  - 2. Conduct SUBMODULE 2B-2: Introduction to responsible and effective feedback. (1 hour)
  - 3. Conduct SUBMODULE 2B-3: Introduction to active listening and observation skills. (1 hour)
- C. Conduct SUBMODULE 2C: Conflict management.  
(30 minutes)
  - 1. Reducing conflict in groups
  - 2. "Pinch/crunch" model
- D. Conduct SUBMODULE 2D: Review. (10 minutes)
- E. View videotape "Abilene Paradox II." (30 minutes)

**V. References:**

- A. FM 22-100 Military Leadership
- B. FM 22-102 Soldier Team Development
- C. 1972 Annual Handbook for Group Facilitators

**VII. Attachments**

- A. Practical exercise
- B. Handouts
- C. Lecturettes
- D. Supplemental Readings

**Title of Exercise: CHAIN OF COMMAND: A COMMUNICATION EXPERIMENT**

**Goal:**

To illustrate distortions which may occur in transmission of information from an original source through several individuals to a final destination.

**Group Size:**

Unlimited. There should be a minimum of eight participants.

**Time Required:**

Thirty minutes.

**Materials:**

- I. Chain of command message (to be read aloud to first participant).
- II. Copies of observation form for process observers.
- III. Newsprint and a felt-tipped marker.

**Physical Setting:**

I. A meeting room.

II. A separate room in which participants can be isolated.

**Process:**

I. The trainer chooses a chain of command, to include a company commander or executive officer, platoon leader, platoon sergeant, squad leader, and fire team leader.

II. All but one of the volunteers are asked to go into the isolation room. One remains in the meeting room with the trainer and the observers. (The rest of the group remains to act as process observers).

III. The trainer distributes Observation Forms to the observers, who are to take notes on the proceedings.

IV. The trainer reads the "Chain of command" message to the first volunteer, who may not take notes or ask for clarification on what he hears.

V. The trainer asks a volunteer in the isolation room to return.

VI. The first volunteer repeats to the second what he heard from the trainer. (It is important that each volunteer transmit the message in his own way, without help).

VII. The process is repeated until all but one have had the message transmitted to them.

VIII. Then the last volunteer returns to the room. He is told to write the message down on newsprint so the group can read it, after he has heard the message delivered to him.

IX. The trainer then posts the original message (as previously prepared on newsprint) so it can be compared with the final version delivered by the chain of command members.

X. Observers are asked to report their notes. Volunteers then discuss their experience. The trainer leads a discussion with the entire group on implications of the exercise.

Variations:

I. The succession of messages can be recorded for playback.

II. The entire group can be used as conveyors of messages.  
(No observers are used).

Source:

"Rumor Clinic: A Communications Experiment". Structured Experience Kit, 1980. Originally published in J.W. Pfeiffer & J.E. Jones (Eds), A Handbook of Structured Experiences for Human Relations Training (Vol. II, Rev.) San Diego, CA: University Associates, 1974.

VIETNAM-1967

ORDER FROM DIVISION TO BRIGADE

“ON NO OCCASION MUST HAMLETS  
BE BURNED DOWN”

VIETNAM-1967

ORDER FROM BRIGADE TO BATTALION

“DO NOT BURN DOWN ANY HAMLETS  
UNLESS YOU ARE ABSOLUTELY CONVINCED  
THE VIET CONG ARE IN THEM”

VIETNAM 1967

ORDER FROM BATTALION TO COMPANY

"IF YOU THINK THERE ARE VIET CONG  
IN THE VILLAGE, BURN IT DOWN."

VIETNAM-1967

ORDER FROM COMPANY TO PLATOON

"BURN DOWN THE HAMLET..."

**SUBMODULE 2B-1: COMMUNICATION MODES AND CONGRUENT SENDING**

**Time: 30 minutes**

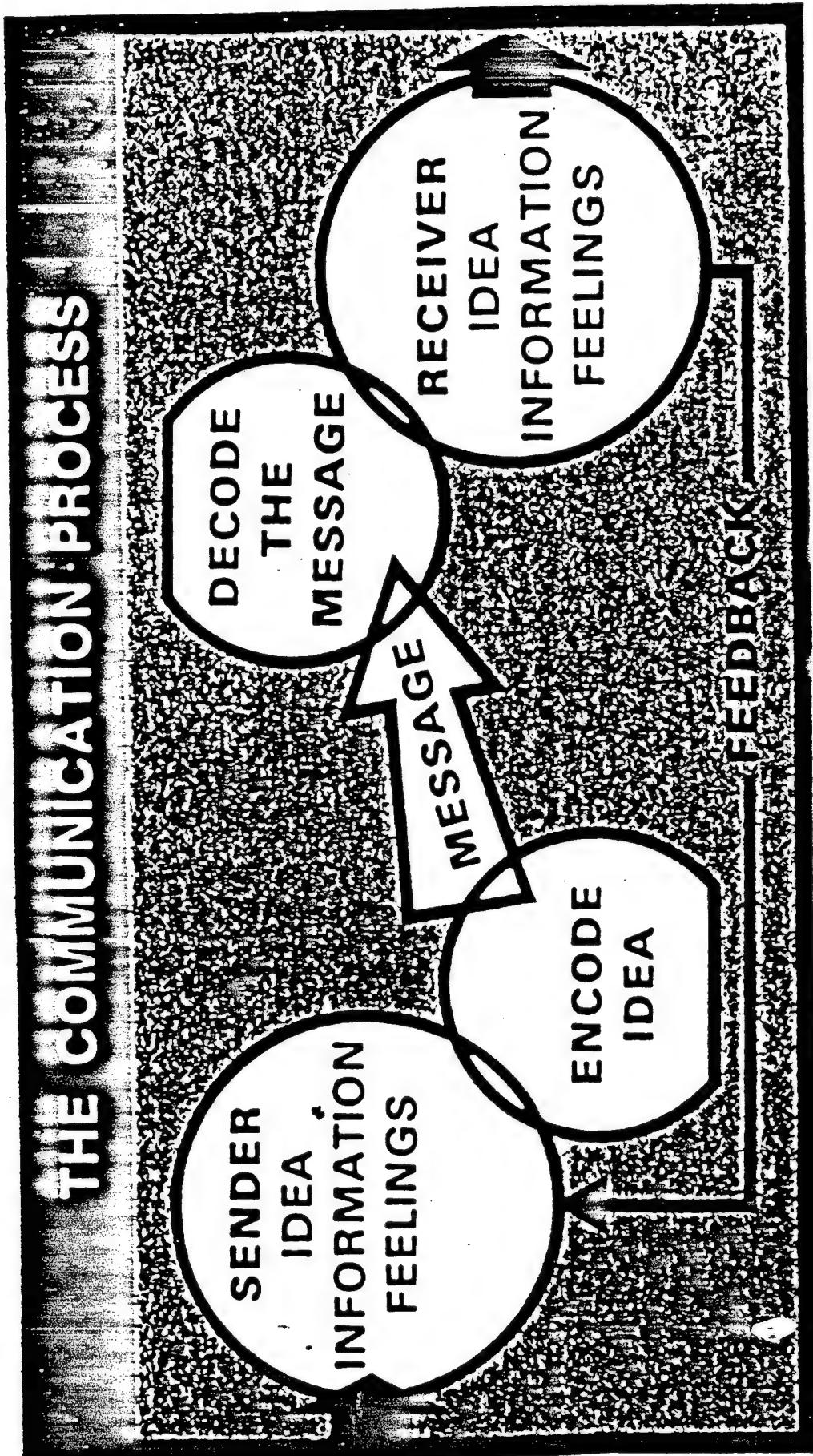
**Sequence:**

1. Trainer delivers lecturette on the various modes of communication and their importance to the communications process.
2. Time is allowed for clarification as needed.
3. Trainer delivers lecturette on the communications model, congruent sending, and effective communications.
4. Time is allowed for clarification as needed.

**Reference: 1972 Annual Handbook for Group Facilitators.**

**Readings: "Congruent Sending," Hansen.**

# THE COMMUNICATION PROCESS



**SLIDE 2-2**

**COMMUNICATION MODES**

**1. SYMBOLIC**

**2. VERBAL**

**3. NON-VERBAL**

## LECTURETTE--COMMUNICATION MODES AND CONGRUENCE

### COMMUNICATION MODES

When we are attempting to transfer our meaning to another person, we use three different modes, methods, or channels to carry out our intentions to "send" messages. We communicate symbolically, verbally, or nonverbally.

When two persons, A and B, are attempting to communicate with each other, their communication is distorted by their personalities, attitudes, values, belief systems, biases, the assumptions they make about each other, their experiences and background, and so on. What is often not understood is that the way we get messages through our screens and through another person's screen often is confusing and distorting. We add to what we hear, we fail to hear, and we distort messages according to the modes that are used to convey messages. Furthermore, we may send "mixed" signals, using more than one mode. (SEE COMMUNICATION MODEL).

Let's discuss the three modes: symbolic, verbal and nonverbal.

Symbolic communication is essentially passive, and the messages emitted in this way are very easily misinterpreted. Also, the sender does not even intend to send a message, or at least not the one that is received by the person doing the interpreting. Some examples of symbolic communication include: the clothes we wear; our hair style, to include facial hair; jewelry and/or cosmetics; our automobiles, homes and other possessions; intervening furniture in our office. All of these symbols are essentially passive. They are, however, a real part of our communication. We are "talking" even when we are not talking. Newspapers, books and other written or printed materials are also forms of symbolic communication. The alphabetic symbols represent words which we then interpret.

Verbal communication is the mode which we rely on the most to carry our meaning. But words do not really have meaning--people have meaning. History is full of examples of misunderstandings among people who were relying on words to carry meaning. One of the difficulties with words is that we attach to them different experiential and emotional connotations. The listener and the speaker may not necessarily attach the same meanings to the same words used.

Nonverbal communication, or body language, is another source, often involuntary, of information. Posture, touching, and eye contact are all examples of nonverbal signals which may accompany the verbal message. The meaning attached by the receiver of the message may not necessarily be the same for the nonverbal signals as for the verbal. Can you think of examples of such "mixed messages"?

The overall lesson to be learned and applied here is that if doubt exists as to the intended meaning of a message, no matter whether delivered verbally, nonverbally, or symbolically, it is better to check it out for verification rather than assuming you understand its meaning as intended by the sender. The meaning of a message is determined ultimately by the receiver, not the sender.

The implication is clear. For clear communication to occur, there must be a two-way interchange of feelings, ideas, and values. One-way communication is highly inefficient in that there is no way to determine whether what is heard is what is intended. A second implication is that for true communication to be experienced, it is necessary that there be a feedback process inherent in the communication effort. There needs to be a continuous flow back and forth among the people attempting to communicate, sharing what they heard from each other. The third implication is that the individual person needs to become acutely aware of the range of signals which he is emitting at any moment. He can learn that by soliciting feedback from the people with whom he is attempting to share meaning.

#### CONGRUENT SENDING

Congruent sending is a basic communication skill. It means making the content of your message congruent (consistent with) what you are feeling and with what you actually intend to communicate. Sometimes we attempt to lessen the risk of saying what we really think or feel by changing our message slightly, softening or distorting it, and thus become incongruent. We are not saying what we really mean or intend to say.

Feelings represent a major source of power in communications. To give up that power seems senseless. In addition, if we try to hide strong feelings, they will tend to "leak out" anyway through our nonverbals. And if our verbal and nonverbal messages are not congruent, our listeners will begin to distrust our message...and us.

Congruent sending becomes particularly useful when attempting to solve problems, manage conflicts, or give feedback. It means stating the problem in terms of its effect on you, rather than in terms of the other person's failures or inadequacies as perceived by you.

DO--Be descriptive, not evaluative.

--Express your feelings and accept responsibility for them.

--State the problem as yours, in terms of effect on you.

--If you want the other person to change, be specific about your request, and be willing to negotiate. Focus on behavior, rather than attitude.

DO NOT--Make evaluative or judgemental statements.  
--Make blaming statements.  
--Tell the other person what to do.  
--Make interpretations or inferences about attitudes,  
motives or personality.

References: 1972 Annual Handbook for Group Facilitators.

Jones, John E. "Communication Modes".  
Hansen, Paul "Congruent Sending"

SUBMODULE 2B-2: INTRODUCTION TO EFFECTIVE FEEDBACK      TIME: 1 hr

**Sequence:**

1. Participants write down one, two, or three word description of their impression of each group member.
2. Members share their impressions of each other. Trainer models, as appropriate.
3. Clarification of impression is allowed by requesting additional information. No discussions are allowed.
4. Participants are asked about their reactions to giving/receiving "feedback" in this manner.
5. Trainer gives lecturette on characteristics of effective feedback in the work environment. Includes principles of effective feedback and interpersonal communications. Includes discussion of why the impressions just exchanged probably did not constitute responsible, effective feedback.

Reference: U.A. 1976 Annual: "The Awareness Wheel" pp. 120-123.

1. DESCRIPTIVE, NOT EVALUATIVE
2. SPECIFIC, NOT GENERAL
3. DIRECTED TOWARD A BEHAVIOR
4. UNDERSTOOD (CLARIFIED AS NEEDED)
5. TIMELY
6. LIMITED (NO BOMBARDMENT)
7. SOLICITED (ASKED FOR)
8. VERIFIABLE
9. DIRECTED TO, NOT ABOUT
10. OWNED BY SENDER ("I", NOT "WE")
11. HELPFUL, NOT PUNITIVE

## LECTURETTE--RESPONSIBLE EFFECTIVE FEEDBACK

Feedback is a way of making a person or group aware of a behavior you see and how that behavior is affecting you.

Here are some useful rules for responsible and effective feedback:

1. Make feedback descriptive rather than evaluative. Describe the behavior you see and its effect on you. Don't try to evaluate or imagine the reason for the behavior. Don't assume you know.

2. Make feedback specific rather than general. Making general statements often leaves people wondering what you mean or what it is they are being asked to do differently.

3. Make sure feedback is directed toward a behavior, and that it is a behavior that the person can do something about.

4. To make sure that what you have said is understood, ask the person to tell you basically his understanding of what you have said.

5. Make feedback well-timed. Feedback that is given soon after a given situation reaches that person while the general situation surrounding the noticed behavior is still fresh in his mind.

6. Don't bombard. It is easier for a person to deal with and accept a few items than to receive a lot of feedback at one time. Don't give him more than he can handle all at once. If the limit is exceeded, the person receiving the feedback will often start feeling defensive, and the whole session will be less productive.

7. Allow the person to solicit your feedback. If it is asked for, feedback is more useful and accepted than if it is imposed upon that person. Give the person the option of refusing the offer.

8. Allow the person to check out feedback with others. He may want a second opinion from someone else who saw the same behavior.

9. Direct feedback to the person, not about him to a third party. Look at him and talk directly to him.

10. Own your own feedback by saying "I", not "we". Let others speak for themselves; don't try to speak for them.

NOTE: If your intent is to punish or get even, your feedback will be ineffective. Don't give feedback unless you are willing to

stay with the person and help him work it through to resolution. Feedback is a way to help another person be more effective; it is not a sanctioned way for you to meet your own needs to "square others away".

**SUBMODULE 2B-3: INTRODUCTION TO ACTIVE LISTENING AND OBSERVATION SKILLS**

Time: 1 hour

**Sequence:**

1. Trainer breaks group into threes. One listens, one speaks, and one observes. Participants alternately practice "parroting" as a form of listening.
2. Trainer checks effect of exercise.
3. Trainer has participants alternately practice "paraphrase" as a form of listening.
4. Trainer checks reactions.
5. Trainer instructs participants to choose a topic they feel strongly about; the listener is instructed to paraphrase again but also to respond and label the emotional content of the message.
6. Trainer recaps principles and considerations of active listening.
7. Time is allowed for clarification.
8. Active listening skills are practiced again as time allows, and as participants and trainers determine the need.
9. Participants are charged with the task of practicing active listening that night with a friend or family member.

Reference: T. Gordon, "Parent Effectiveness Training."

SLIDE 2-4

THE IMPORTANCE OF LISTENING

70% OF OUR WAKING HOURS IS SPENT COMMUNICATING:

9% WRITING

16% READING

30% TALKING

45% LISTENING

THE GOOD LORD GAVE US TWO EARS AND ONE MOUTH---

THAT SHOULD INDICATE THE PROPORTION IN WHICH THEY SHOULD BE USED.

ACTIVE LISTENING

1. SENDER SENDS MESSAGE
2. LISTENER PARAPHRASES (SOME EMOTIONAL CONTENT RETURNED)
3. SENDER REVISES OR CLARIFIES
4. LISTENER PARAPHRASES AGAIN
5. SENDER CONFIRMS MESSAGE RECEIVED
6. LISTENER RESPONDS TO THE MESSAGE

NOTE: LISTENER DOES NOT OFFER SOLUTIONS OR OPINIONS.

LISTENER TUNES INTO BOTH CONTENT AND EMOTIONS.

**SUBMODULE 2C: CONFLICT MANAGEMENT**

**Time: 30 minutes**

**Sequence:**

1. Trainer presents lecturette and explains "Pinch-Crunch" model.
2. Trainer explains difference between conflict management and conflict resolution. (Conflicts are seldom resolved, and may require continuous management).
3. Group discussion is conducted on applications of the "Pinch-Crunch" model, and the relevance of active listening skills and effective feedback skills to conflict management.

**References:** See lecturette

## LECTURETTE--CONFLICT MANAGEMENT AND PINCH/CRUNCH

### CONFLICT MANAGEMENT

Conflict is an inevitable part of life. Conflict can not be completely eliminated, avoided, or even completely resolved. The goal, then, is to learn to manage conflict creatively and constructively. The basic skills involved in conflict management are as follows:

1. Help others to develop their personal power base. One of the first questions you need to ask yourself is "How can I help this person or these people feel better about themselves?"

2. Develop your own relational base. Strive to build a relationship of acceptance and trust. When the level of acceptance and trust is low, communication usually gets distorted and misunderstood no matter how articulate and intelligent the one who is trying to communicate.

3. Develop communication skills. An essential ingredient in the creative management of conflict is a healthy quality of communication. Since communication is a two-way process, it requires much in-depth listening and congruent sending.

Listening--Hear both the content and the emotion, what is said as well as how it is said.

--Test your perceptions by paraphrasing.

--Ask for clarification or for more amplification.

Responding--Send messages that are congruent with feelings.

--Own your own perceptions.

--Send "I" messages, not "you" messages.

4. Test your assumptions. Recognize that an assumption is being made and ask if it is valid. If it is a destructive assumption, it will get in the way of conflict management.

5. Identify your goals. Ask what it is that you are trying to accomplish in this situation. What is the outcome that both (or all) of you are trying to achieve? That is not the same as "Who started it?" It is not necessary for the goals to be identical. It is important that you reach a clear understanding of what they are and if they have any overlap. You can then work together on the areas of overlap. Your mutual goals can be defined in terms of that overlap.

6. Select creative alternatives. Use brainstorming to generate alternative approaches to a solution. Agree on one to be used.

7. Establish a contract to execute your decision.

## CONCLUSION

When all of these skills are used, a number of things will result:

1. It will insure that the worth and integrity of the person involved has been preserved and that each person has been psychologically supported enough to make his creative contribution to the conflict management situation.
2. You will have filtered out the interpersonal static and the unrealistic assumptions that get in the way of creative problem solving.
3. You will have taken a creative futuristic goal-setting approach to managing conflict.
4. You will have identified the specific steps in accomplishing your chosen goal.

## "PINCH/CRUNCH" MODEL

This model applies to both work and family relationships. It works on the notion of preventive maintenance. As already discussed, any relationship will inevitably require management of conflict over time. Even in a relatively stable relationship, inevitably, sooner or later, one of the persons is certain to feel "pinched" by the relationship.

A Pinch is a sense of loss of freedom within one's current role, and is a signal of the possibility of an impending disruption in the relationship. The pinch is an early warning signal-- now is the time to talk. The person who hides his pinch often makes a much more serious problem more likely later.

The model states that relationships cycle through periodically toward inevitable disruption. These concepts then provide a way to introduce controlled change by anticipating disruption and renegotiating expectations in advance of disruption. This is known as planned renegotiation, and it is based on learning to act on a pinch, before it can become a crunch.

People are trained not to share pinches. They hope if they hide them, they will go away. A person feeling a pinch would probably not even call it a problem. He may decide to be polite rather than candid at this point. But the person who hides his pinch or plays it down is only postponing, and maybe precluding, the solving of the problem. Once a critical incident and the subsequent disruption have occurred, it immediately throws the relationship over to the left side of the diagram, as a "Crunch." Problem solving at this point becomes much more difficult to

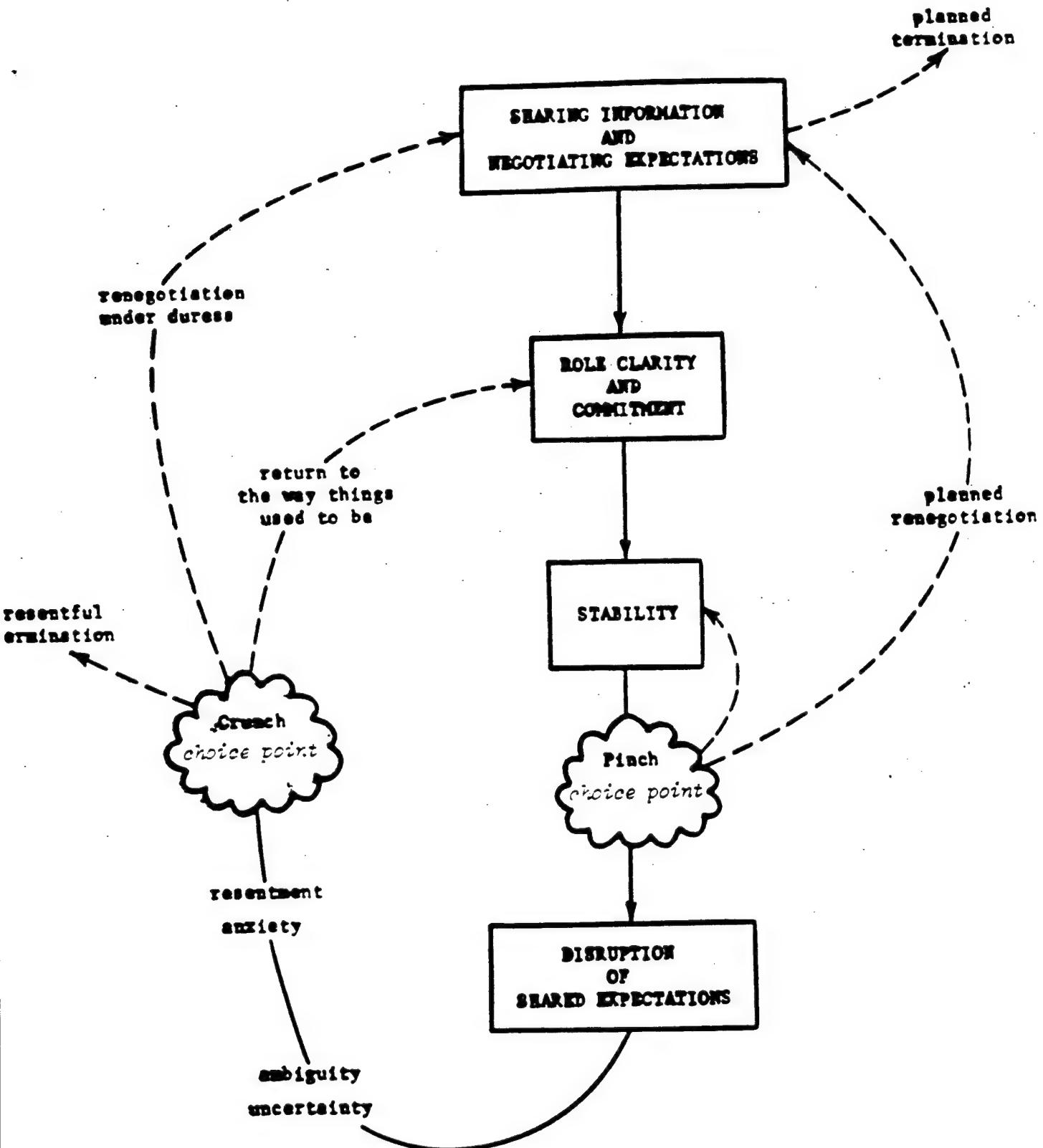
achieve, due to the increased feelings of resentment and anxiety.

The basic rules are these: 1. When one person feels a pinch, the other person is affected, but may not know it. (A pinch is felt by an individual, whereas a disruption is experienced by all parties involved in the relationship.) 2. Once a pinch is shared, there needs to be a mutual choice whether or not to work on the new information. 3. If the people decide to work on the pinch, it is discussed in terms of a problem to be solved, rather than as a case to be prosecuted or a fight to be won. The problem solving approach will involve a renegotiation of expectations, based on the new information. All of the basic skills for creative conflict management discussed previously do apply to such a problem solving approach.

References:

- Pates, Hugh." Basic Skills For Creative Conflict Management."
- Sherwood, John J. and Gildewell, John C. "Planned Renegotiation." 1973 Annual Handbook for Group Facilitators.
- Sherwood, John J. and Scherer, John J. "The Dating/Mating Game: How To Play Without Losing"

## "PINCH-CRUNCH" MODEL



**SUBMODULE 2D: REVIEW OF MODULE 2**

**TIME: 10 MINUTES**

**Sequence:**

1. Trainer reviews communication cycle, effective feedback, active listening, and conflict management (Pinch-crunch model).
2. Relevance of this module in terms of enhancing cohesion at small unit level is discussed.
3. Relevance of this module in terms of conducting after action reviews of tactical training is discussed.
4. Participants are challenged to make these new skills a part of their daily operations at work and at home.

**SLIDE 2-7**

**REVIEW OF COMMUNICATIONS**

**( MODULE 2 )**

- 1. COMMUNICATION CYCLE AND MODES**
- 2. EFFECTIVE FEEDBACK**
- 3. ACTIVE LISTENING**
- 4. CONFLICT MANAGEMENT**
- 5. RELEVANCE AND APPLICATION OF NEW SKILLS**

# **Executive Development Research Group**

## **Working Paper**

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**LDR 90**

**LEADER DEVELOPMENT COURSE**

**"LEADERSHIP FOR THE 90'S" PROJECT**

**MODULE 3: SOLDIER TEAM DEVELOPMENT**

**(MODULE 3 OF 10 MODULES)**

**Lawrence R. Boice and James T. Maguire**

**Army Research Institute**

**30 November 1987**

**Manpower and Personnel Research Laboratory**



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## MODULE 3

## DAY 2

TIME	EVENT	MATERIALS	TRAINER
0800	PE 3.1. Hollow Squares: A Communications Experiment	4 Hollow Sq puzzles Briefing Sheets Key & pattern	
	Brief review of communications training	see module 2	
0930	Coffee Break		
0945	Team Building and Group Development (FM 22-102)		
	a. PE 3.2 Inclusion Exercise	Task Briefing	
	b. Theories on Stages of Group Development	Lecturette Prepared Charts	
	c. Functional Roles in Groups	Lecturette	
	d. PE 3.3 Fish Bowl Exercise (Norms & Values)	Group observation guides	
1200	Lunch Break		

# HOLLOW SQUARE: A COMMUNICATIONS EXPERIMENT

## Goals

- I. To study dynamics involved in planning a task to be carried out by others.
- II. To study dynamics involved in accomplishing a task planned by others.
- III. To explore both helpful and hindering communication behaviors in assigning and carrying out a task.

## Group Size

A minimum of twelve participants (four on the planning team, another four on the operating team, and at least four to be observers). The experience can be directed with multiple groups of at least twelve participants each.

## Time Required

Approximately one hour.

## Materials

- I. For the four members of the planning team:
  1. A Hollow-Square Planning-Team Briefing Sheet for each member.
  2. Four envelopes (one for each member), each containing puzzle pieces. (Instructions on how to prepare the puzzle follow.)
  3. A Hollow-Square Pattern Sheet for each member.
  4. A Hollow-Square Key Sheet for each member.
- II. Copies of the Hollow-Square Operating-Team Briefing Sheet for the four members of the operating team.
- III. Copies of the Hollow-Square Observer Briefing Sheet for all process observers (the rest of the group).
- IV. Pencils for all participants.

## Physical Setting

A room large enough to accommodate the experimental groups comfortably. Two other rooms where the planning and operating teams can be isolated. A table around which participants can move freely.

## Process

- I. The facilitator selects four people to be the planning team and sends them to an isolation room.
- II. The facilitator selects four people to be the operating team, gives them copies of the

Operating-Team Briefing Sheet, and sends them to another room. This room should be comfortable, because this team will have a waiting period.

- III. The facilitator designates the rest of the members as the observing team. He gives each individual a copy of the Observer Briefing Sheet and allows time to read it. Each observer chooses one member from each of two teams he will observe. The facilitator explains to the observers that they will gather around the table where the planning and operating teams will be working. Their job will be to observe, take notes, and be ready to discuss the results of the experiment.
- IV. The facilitator then brings in the members of the planning team and has them gather around the table. He distributes a Planning-Team Briefing Sheet and an envelope to each individual on the team.
- V. The facilitator explains to the planning team that all the necessary instructions are on the Briefing Sheet. If questions are raised, the facilitator answers, "All you need to know is on the Briefing Sheet."
- VI. The facilitator then cautions the observing team to remain silent and not to offer clues.
- VII. The experiment begins without further instructions from the facilitator.
- VIII. After the planning and operating teams have performed the task as directed on their instruction sheets, observers meet with the two persons whom they observed to give feedback.
- IX. The facilitator organizes a discussion around the points illustrated by the experiment. He calls on the observers for comments, raises questions himself, and gradually includes the planning and operating teams.

An evaluation of the Planning-Team Briefing Sheet may be one topic for discussion. Any action not forbidden to the planning team by the rules is acceptable, such as drawing a detailed design on the Pattern Sheet or drawing a template on the table or on another sheet of paper. Did the planning team restrict its efficiency by setting up artificial constraints not prescribed by the formal rules? Did it call in the operating team early in the planning phase, an option it was free to choose?

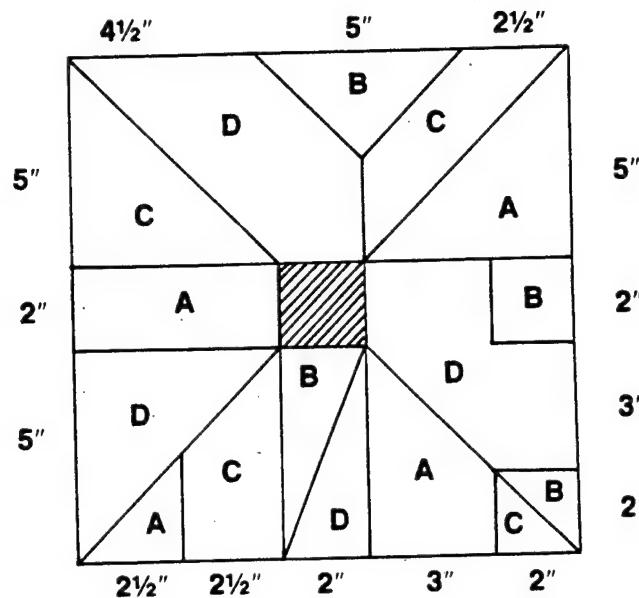
#### *Variations*

- I. While the operating-team members are waiting to be called, they can be involved in a team-building activity such as "Twenty-five Questions."
- II. An intergroup competition can be set up if there are enough participants to form two sets of teams. The winner is the team that achieves the correct solution in the least amount of time.
- III. With smaller groups the number of envelopes can be reduced. (It would be possible to have individuals work alone.)
- IV. The members of the operating team can be instructed to carry out their task nonverbally.

#### *Preparing the Puzzle*

Prepare the hollow-square puzzle from cardboard with dimensions and shapes as in the following drawing. Lightly pencil the appropriate letter on each piece. Put all letter-A

pieces in one envelope, all letter B's in another envelope, and so on. Then erase the penciled letters.



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Developed by Arthur Shedlin and Warren H. Schmidt.

Originally published in J. W. Pfeiffer & J. E. Jones (Eds.), *A Handbook of Structured Experiences for Human Relations Training* (Vol. II, Rev.). San Diego, CA: University Associates, 1974.

## **HOLLOW-SQUARE PLANNING-TEAM BRIEFING SHEET**

Each of you has an envelope containing four cardboard pieces which, when properly assembled with the other twelve pieces held by members of your team, will make a "hollow-square" design. You also have a sheet showing the design pattern and a Key Sheet showing how the puzzle pieces fit to form the hollow square.

### *Your Task*

During a period of twenty-five minutes you are to do the following:

1. Plan to tell the operating team how the sixteen pieces distributed among you can be assembled to make the design.
2. Instruct the operating team how to implement your plan.

(The operating team will begin actual assembly after the twenty-five minutes are up.)

### *Ground Rules for Planning and Instructing*

1. You must keep all your puzzle pieces in front of you at all times (while you both plan and instruct), until the operating team is ready to assemble the hollow square.
2. You may not touch other member's pieces or trade pieces during the planning or instructing phases.
3. You may not show the Key Sheet to the operating team at any time.
4. You may not assemble the entire square at any time. (This is to be done only by the operating team.)
5. You may not mark on any of the pieces.
6. When it is time for your operating team to begin assembling the pieces, you may give no further instructions; however, you are to observe the team's behavior.

## HOLLOW-SQUARE OPERATING-TEAM BRIEFING SHEET

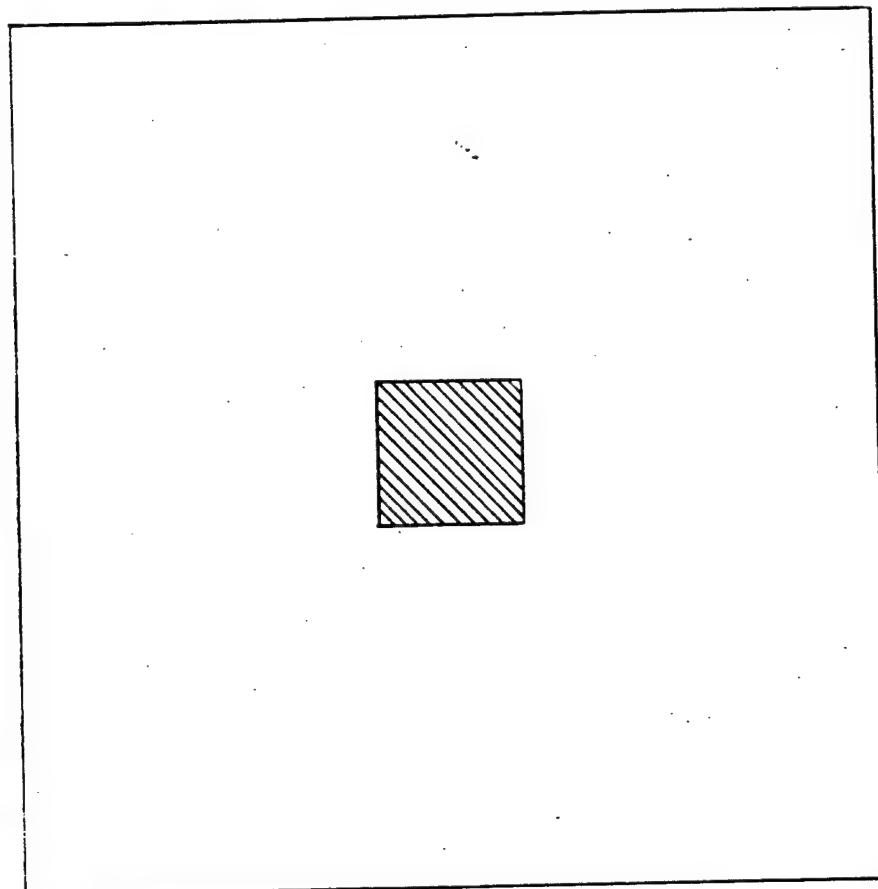
1. You have the responsibility of carrying out a task according to instructions given by your planning team. Your task is scheduled to begin no later than twenty-five minutes from now. The planning team may call you in for instructions at any time. If you are not summoned, you are to report anyway at the end of this period. No further instructions will be permitted after the twenty-five minutes have elapsed.
2. You are to finish the assigned task as rapidly as possible.
3. While you are waiting for a call from your planning team, it is suggested that you discuss and make notes on the following questions.
  - a. What feelings and concerns are you experiencing while waiting for instructions for the unknown task?
  - b. How can the four of you organize as a team?
4. Your notes recorded on the above questions will be helpful during the discussion following the completion of the task.

## **HOLLOW-SQUARE OBSERVER BRIEFING SHEET**

You will be observing a situation in which a planning team decides how to solve a problem and gives instructions on how to implement its solution to an operating team. The problem is to assemble sixteen pieces of cardboard into the form of a hollow square. The planning team is supplied with the key to the solution. This team will not assemble the parts itself but will instruct the operating team how to do so as quickly as possible. You will be *silent* throughout the process.

1. You should watch the general pattern of communication, but you are to give special attention to one member of the planning team (during the planning phase) and one member of the operating team (during the assembling period).
2. During the planning period, watch for the following behaviors:
  - a. Is there balanced participation among planning-team members?
  - b. What kinds of behavior impede or facilitate the process?
  - c. How does the planning team divide its time between planning and instructing? (How soon does it invite the operating team to come in?)
  - d. What additional rules does the planning team impose upon itself?
3. During the instructing period, watch for the following behaviors:
  - a. Which member of the planning team gives the instructions? How was this decided?
  - b. What strategy is used to instruct the operating team about the task?
  - c. What assumptions made by the planning team are not communicated to the operating team?
  - d. How effective are the instructions?
4. During the assembly period, watch for the following behaviors:
  - a. What evidence is there that the operating-team members understand or misunderstand the instructions?
  - b. What nonverbal reactions do planning-team members exhibit as they watch their plans being implemented?

## HOLLOW-SQUARE PATTERN SHEET

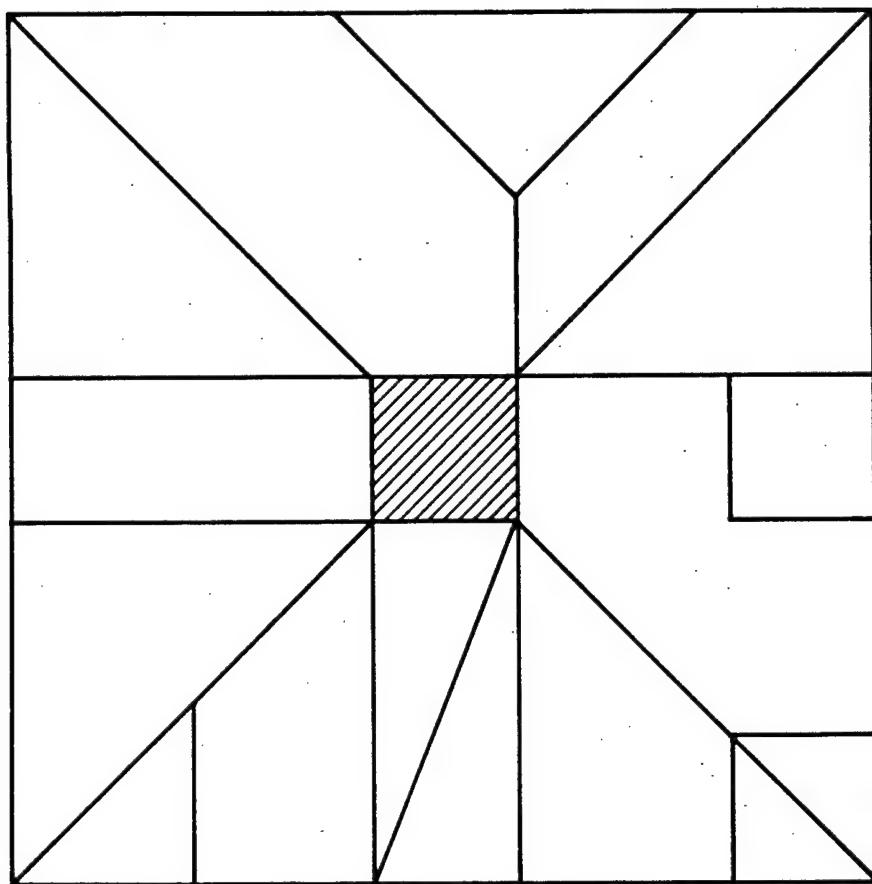


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*San Diego, California*

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## HOLLOW-SQUARE KEY SHEET



## INCLUSION/EXCLUSION EXERCISE

## GOALS

- I. To study the dynamics involved in stages of group formation.
- II. To experience the effects of removing members from group task activity on members who are taken out, those who remain, and task satisfaction.
- III. Raise awareness of problems associated with the assimilation of new members into an ongoing work group.

## GROUP SIZE

A minimum of twelve participants.

## TIME REQUIRED

A minimum of forty-five minutes.

## PHYSICAL SETTING

A room large enough to accommodate the group comfortably. An area or room away from the group where the extracted members can wait unseen and unheard.

## PROCESS

I. The facilitator assigns the total group a task that they must complete, stressing that the group is being evaluated on its task completion ability. The task should be one that the group can become vested in quickly. (E.G. Plan a post-course party, fishing trip, etc.) When it appears that the group has begun to buy into the task, the facilitator picks three or four group members to accompany him for a detail. These members are taken out of the room and told to wait for instructions, and are kept waiting until the remainder of the group are totally absorbed in the task. If the detail persons have left empty chairs in the group these should be removed without comment or explanation and placed away from the working group. The group may be reminded to keep the circle tight as they work.

II. When the group has really engaged the task, and the facilitator judges that their involvement with the task and each other is high the detailed members are brought back into the room and left without any instruction from the facilitator. At the point where the detailed members have begun to lose interest in attempting reentry into the group, the facilitator stops the task and asks people to look around.

III. The facilitator leads a group discussion on the following topics:  
a. What it felt like to lose group members, b. What it was like to leave the group, c. reenter the group, and d. what people were doing, thinking and/or feeling when the detailed members came back and tried to catch up. Ask the group to reflect on what situations they might face in the day to day leadership tasks they have to perform that are similar to this exercise? What are they now aware of that they might do differently. How would they approach the problem or assimilating replacements into their unit?

LECTURETTE: STAGES OF TEAM DEVELOPMENT  
(20 minutes)

Trainer hands out "FIRO issues" and "Stages of Team Development".

(Since the group has just completed the inclusion exercise, trainer should start with the inclusion, control, and openness handout.)

These "issues" of inclusion, control, and openness are those experienced when one enters a new group. The individual wants to know what's going on and where he fits in that new group. He wants to know who the others are, and what his role will be in the group. The basic question is whether or not the individual is "in" the group or "out" of the group. That's what we mean by inclusion--will I be included in the group?

Once an individual has determined whether or not he is in or out of the group, the next issue becomes one of control. Who is the leader of the group, and how much influence do I have?

Finally, the issue becomes one of openness in the group. How much do I trust the others in the group and am I trusted by the group? Can I show emotion? Am I loyal to the group?

These three issues--inclusion, control, and openness--can similarly be applied to teams. (See handout, "Stages of Team Development") Teams (or groups) go through the same issues.

Another way to think of it is that groups form (formation stage), teams develop (development stage), and they sustain (sustainment stage).

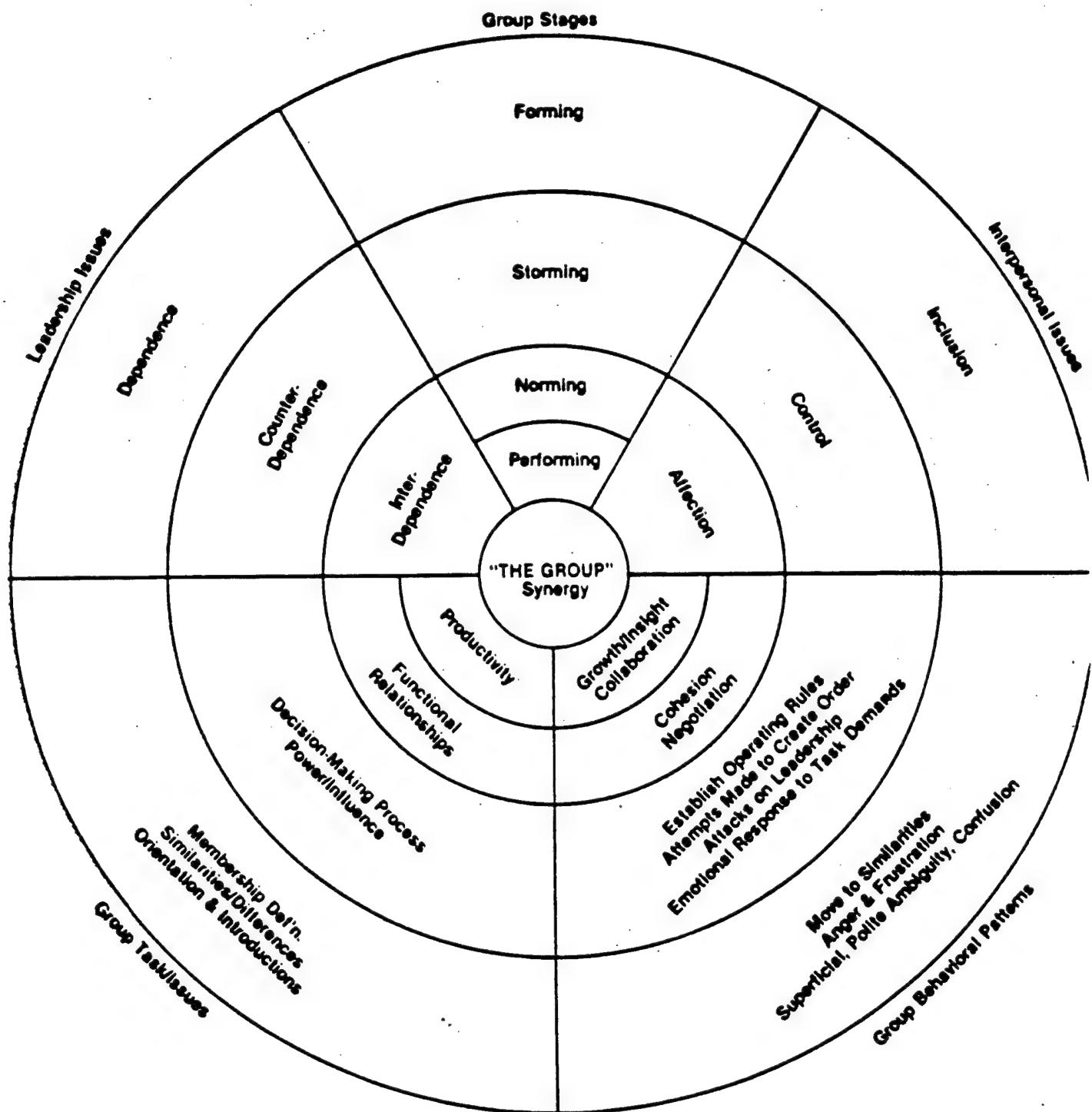
When you first receive your soldiers, this company team will be in the formation stage. You the chain of command will have to receive and orient your new soldiers and their families. You will have to settle personal and family concerns. Your soldiers will want to learn about their leaders and this unit. You will do that by telling them about your mission and the unit's history. You will communicate values--those things that are important--by what you do. You the chain of command have to work through these formation challenges before you move on to the developmental stage.

In the developmental stage the team will begin to trust each other. Soldiers will begin to accept the way things get done around here in this battalion. They will understand who's in charge. You will begin to train as a unit. You will develop individual and unit goals that the chain of command wants to accomplish. Soldiers will begin to work through the conflicting priorities of family and unit.

Finally your team will get into the sustainment stage. Trust will be the norm. Soldiers will share ideas and actions freely. Everyone will have input during After Action Reviews. The unit will progress beyond the first external evaluation into more challenging training. The chain of command will actively resolve personal and family problems. You will build unit pride through increasingly challenging training, sports, social, and spiritual activities.

(Note: Trainer can also work through the "Critical combat section" on this handout.)

**FIGURE 1**  
**The Life Cycle of Groups**



## FUNDAMENTAL INTERPERSONAL RELATIONS ORIENTATION (FIRO)

In the FIRO Model, William C. Schutz describes ~~interpersonal relations~~ in terms of basic needs for inclusion, control, and openness. He differentiates in each of these areas between the behavior and feelings we express toward others and the behavior we want from others.

A person will express these basic needs in varying degrees by attempting to interact or associate with others (Inclusion), to control or influence others (Control), and to demonstrate love and affection for others (Openness). Conversely, each person wants others to behave toward him by interacting or associating with him, by controlling or influencing him, and by showing love and affection for him.

The basic FIRO Model has two dimensions that intersect with each other:

Inclusion/Control/Openness  
Expressed Behavior/Wanted Behavior

Figure 15 shows the six areas, or cells, of intersection that are created. In each of the cells is a statement representing an individual's orientation toward interpersonal relations.

To complete the basic FIRO Model, Schutz added a third dimension to each cell -- intensity. Intensity level describes the degree to which an individual expresses behavior toward others or wants them to express behavior toward him in each of the three areas (inclusion, control, openness). Extreme characteristics of people in each of the orientation modes are described by Schutz.

### Inclusion

An undersocial person, at the extreme, withdraws from people. He does not attend social functions, nor will he initiate social activities and invite others to join him. At a lesser extreme, the undersocial person shows reluctance toward social activities -- he may make a habit of arriving late or leaving early.

The oversocial person shows a strong need to be with others whenever possible. Seldom alone, he is both a joiner and an organizer. At the extreme, he will be compulsive about having someone with him at all times. A more moderate position is indicated by an individual's attempts to be noticed. Whether the result is positive or negative, having people pay attention to him is what counts.

If a person has resolved his needs . . . inclusion he is able to be social. He is flexible in his relations, feeling comfortable either alone or with others. If he desires, he may be very involved in certain social activities and decline to participate in others.

Both undersocial and oversocial behaviors result from a poor self-image. The person who feels that others consider him unimportant may become either introverted ("I'm not going to risk being ignored") or extroverted ("I'll make people pay attention to me any way I can"). The social orientation requires a high self-image -- a feeling of worth and identity.

#### Control

The characteristic behavior of the abdicator is to avoid taking responsibility at any cost. He tends to associate with people who will take charge, allowing him to take a subordinate role.

The autocrat always wants to be in control. He may express this need directly, by attempting to dominate people, or indirectly, by attempting to gain prominence in sports, politics, or business -- seeking superiority that allows him to exercise control over people in situations.

The democrat is able to take either a dominant or subordinate role with equal comfort. He bases his assumption of control on its appropriateness to the current situation.

Schutz says that both abdicator and autocrat behaviors represent the extreme reactions to feelings of incompetence. The abdicator defers to strength in others, and the autocrat attempts to prove himself by always taking control. The person who feels competent (at least in some areas) is not driven to compulsive behavior in either direction.

#### Openness

A person who tends to avoid personal relationships with others, not wanting to get emotionally involved, is underpersonal. He may associate with others, but he keeps them at a distance. Rather than make individual distinctions between people, he probably will treat them all the same.

The overpersonal individual always needs to establish deep personal relationships. Not satisfied with acquaintances, he must be friends with everyone. The overpersonal person may be direct, affectionate, and intimate. More directly, he may be possessive and try to punish any attempts by his friends to establish other friendships.

When a person exhibits the ability to be comfortable either with intimacy or without emotional attachment, he is personal. He can accept the fact that he is liked by some and not by others.

Affection-oriented behavior is the result of a person's feelings about his loveliness. If he feels unlovable, he will be either underpersonal or overpersonal. If, on the other hand, he is secure in knowing that he is lovable, he can exhibit genuine affection with some people and be perfectly at ease with more impersonal relations with others.

	INCLUSION	CONTROL	OPENNESS
EXPRESSED BEHAVIOR (Toward Others)	I join other people I include others	I take charge I influence people	I get close to people
WANTED BEHAVIOR (From Others)	I want people to include me	I want people to lead me	I want people to get close a personal with

Figure 15. The basic FIRO Model (Adapted from Schutz 1973)

FUNDAMENTAL INTERPERSONAL RELATIONSHIP ORIENTATION (FIRO) - ISSUES

INCLUSION ISSUES:

- What's going on?
- Where do I fit in this group?
- Are people going to accept me?
- Is my identity challenged?
- Where are my boundaries?
- I'm bored!
- I'm interested!
- I feel uncomfortable
- Who are others in group?
- What are my and others roles?
- Is my input accepted?

CHARACTERIZED BY:

- Overtalking
- Withdrawing
- Exhibitionism
- War stories
- Questioning Goals
- Questioning Norms
- Checking out others
- Checking out trainers
- Saying Goodbye and Re-entry
- Following

BASIC QUESTION:

"In" or "out"?

CONTROL ISSUES:

- Who is the leader?
- How much influence do I have?
- How much responsibility do I have?
- Who is running the show?
- Are my needs being met?
- Are my values being respected?
- I feel threatened!
- Is my input important?

- Accomplishment of Task      "Top" or "Bottom"?
- Leadership/power struggle
- Boasting
- Criticizing Leader
- Attacking other members
- Sub-grouping
- Red-crossing
- Electing the senior person
- Electing the least influential

OPENNESS ISSUES:

- To what extent do I trust and am I trusted?
- Can I express and receive emotions, including affection and hostility?
- Am I loyal to group members? Are they loyal to me?
- Is personal attraction OK? Will others be jealous?
- What will be the effect on group cohesion of my disagreement?
- How can we keep this level of group development?

- Open expression of emotion      "Near" or "Far"?
- Physical contact above cultural norms
- Social/personal space reduced
- High level of self-disclosure
- Easy give and take
- Active listening
- Equitable distribution of warmth
- Pairing
- Jealousy
- Group-think
- Forecasting the end of the group coordination and cooperation synergy

## Anxiety

Schutz's model can also provide some insight into certain types of anxiety. He described two situations, or potential situations, that produce anxiety: too much activity and too little anxiety. Anxiety can be viewed as a person's anticipation of situations in which he will:

- be ignored or insignificant;
- not be influential;
- not be loved;
- be enmeshed or denied privacy;
- have too much responsibility; or
- be smothered by affection.

## Discussion

As its name implies, the principal usefulness of the FIRO Model is in the area of interpersonal relations. But experience has demonstrated that the model is quite valuable in helping the individual to understand himself as well.

In the form presented here, the FIRO Model applies predominantly to normal interpersonal relations. The three types of behavior in each area represent a segment of the normal spectrum of behavior and feelings. It is possible, however, to extend Schutz's model into the realm of pathological behaviors (extreme anti-interactive and compulsive-interactive), but it requires a fuller interpretation and expansion of the model. The basic model is more than broad enough, however, to cover most interpersonal relations encountered in the training counseling environment.

The FIRO Model is deceptively simple in appearance. Although it is not apparent on first examination, the model provides a framework for defining and discussing literally billions of distinct and different intrapersonal and interpersonal relationships. The concepts are fairly straightforward and not difficult to grasp. In very short order, the FIRO Model can be presented and a common terminology established. From this base, many real-life situations can be discussed with unusual depth.

In the lecture-discussion training situation, the FIRO Model requires only a short span of time for passing on large quantities of information about human relationships. Presented early in the session, the model can provide a base for later discussions. And it can serve the facilitator in much the same capacity in nonstructured or experiential learning groups.

## SUGGESTED READINGS

Kormanski, C.L. Party conversations: A FIRO role play. In J.E. Jones & J.W. Pfeiffer (Eds.), The 1975 annual handbook for group facilitators, LaJolla, Calif.: University Associates, 1975.

Ryan, L.R. Clinical interpretation of the FIRO B. Palo Alto, Calif: Consulting Psychologists Press, 1970.

Schutz, W.C. FIRO: A three-dimensional theory of interpersonal behavior.  
New York: Holt, Rinehart and Winston, 1958.

Schutz, W.C. Fundamental interpersonal relations orientation -- Behavior. In  
J.W. Pfeiffer, R. Hesling & J.E. Jones, Instrumentation in human  
relations training (2nd ed.). LaJolla, Calif: University Associates, 1976.

Schutz, W.C. FIRO-B and FIRO-F. In J.W. Pfeiffer, R. Heslin & J.E. Jones,  
Instrumentation in human relations training (2nd ed.). LaJolla, Calif:  
University Associates, 1976.

Reproduced for Understanding People: Models & Concepts  
by Boshear and Albrecht

LECTURETTE: FUNCTIONAL ROLES IN GROUPS  
(10 minutes)

Trainer passes out "Functional Roles in Face to Face Groups".

Now within groups or teams that we just talked about, there are certain roles that people play. Roles sometimes shift within the group. People play different roles. All the roles sometimes aren't used. The important thing is to recognize that there are different functional (useful) roles in teams, and all can contribute to group effectiveness. Conversely, many roles can hinder group effectiveness. It's important for group or team members to recognize and deal with dysfunctional roles in the team. (Trainer then discusses Group Building and Maintenance Roles).

Finally, there are individual roles which may or may not be relevant to the group task or the functioning of the group as a group. However, these roles will have a clear effect on the group. (Trainer then discusses individual roles)

Our next exercise is designed to practice your observation skills and explore various functional/dysfunctional roles that group members play.

# What To Observe in a Group

*Edgar H. Schein*

One way to learn in a training laboratory is to observe and analyze what is happening in one's T Group. All of us have spent our lives in groups of various sorts—the family, gang, team, workgroup, platoon, and so on—but rarely have we taken the time to observe, discuss, and try to understand what was going on in the group. One of our main goals here is to become better observers, which may help us become more effective group participants.

But what do we look for? What is there to see in a group?

## Content and Process

When we observe what the group is talking about, we are focusing on the *content*. When we try to observe how the group is handling its communication, i.e., who talks how much or who talks to whom, we are focusing on group *process*.

Most discussion topics about the back-home situation emphasize the *content*: "What is good leadership?" "How can I motivate my subordinate?" "How can we make meetings more effective?" They concern issues which are "there-and-then" in the sense of being abstract, future- or past-oriented, and not involving us directly. In focusing on group *process*, we are looking at what our group is doing in the "here-and-now," how it is working in the sense of its present behaviors.

In fact, the content of the conversation is often the issue as to what process issue may be on people's minds when they find it difficult to confront the issue directly. For example:

<i>Content</i>	<i>Process</i>
Talking about problems of authority back home may mean ...	that there is a leadership struggle going on in the T Group.
Talking about how bad group meetings usually are at the plant may mean ...	that members are dissatisfied with the meeting of their own T Group.
Talking about staff men who don't really help anybody may mean ...	dissatisfaction with the way the trainer in the T Group is behaving.

At a simpler level, looking at process really means to focus on what is going on in the group and to try to understand it in terms of other things that have gone on in the group.

## II. Communication

One of the easiest aspects of group process to observe is the pattern of communication:

Who talks? For how long? How often?  
Whom do people look at when they talk?  
Others who may support them? The group as a whole?  
The trainer? No one?

Who talks after whom? Who interrupts whom?  
What style of communication is used—assertions,  
questions, tone of voice, gestures, support or negation?

The kinds of observations we make give us clues to other important things which may be going on in the group, such as who leads whom or who influences whom.

### III. Decision-Making Procedures

Whether we are aware of it or not, groups are making decisions all the time, some of them consciously and in reference to the major tasks at hand, some of them without much awareness and in reference to group procedures or standards of operation. It is important to observe how decisions are made in a group in order to assess the appropriateness of the method to the matter being decided on, and in order to assess whether the consequences of given methods are really what the group members bargained for.

Group decisions are notoriously hard to undo. When someone says, "Well, we decided to do it, didn't we?" any budding opposition is quickly immobilized. Often we can undo the decision only if we reconstruct it and understand how we made it and test whether this method was appropriate or not.

Some methods by which groups make decisions follow:

*The Plop:* "I think we should introduce ourselves" . . . silence. (Group decision by omission)

*The Self-Authorized Agenda:* "I think we should introduce ourselves, my name is Joe Smith . . ." (Decision by one)

*The Handclasp:* "I wonder if it would be helpful if we introduced ourselves?" "I think it would, my name is Pete Jones. . ." (Decision by two)

"Does Anyone Object?" or "We all agree." (Decision by a minority—one or more)

*Majority-Minority Voting.* (Decision by majority)

*Polling:* "Let's see where everyone stands; what do you think?"

*Consensus Testing:* Exploration to test for opposition and to determine whether opposition feels strongly enough to be unwilling to implement decision; not necessarily unanimity but essential agreement by all.

The procedure can be tricky. For example, it sometimes happens that a decision to poll—which looks very democratic, because polling is considered democratic—can be made by self-authorization or by handclasp.

At such a point, the alert group member will realize what is going on and insist that the group be clear on its decision-making style. Actually, the decision a group makes about how it will make decisions can be the most important single element with respect to how it works as a group.

### IV. Task or Maintenance Behavior vs. Self-Oriented Behavior

Behavior in the group can be seen from the point of view of what its purpose or function seems to be. When a member says something, is he primarily trying to get the group task accomplished (task), to improve or patch up some relationships among members (maintenance), or to meet some personal need or goal without regard to the group's problems (self-oriented)?

The types of behavior relevant to the group's fulfillment of its *task* are these:

*Initiating:* Proposing tasks or goals; defining a group problem; suggesting a procedure or ideas for solving a problem. . . .

*Seeking Information or Opinions:* Requesting facts; seeking relevant information about group concern; requesting a statement or estimate; soliciting expressions of value; seeking suggestions and ideas. . . .

*Giving Information or Opinion:* Offering facts; providing relevant information about group concern; stating a belief about a matter before the group; giving suggestions and ideas.

*Clarifying and Elaborating:* Interpreting ideas or suggestions; clearing up confusions; defining terms; indicating alternatives and issues before the group. . . .

*Summarizing:* Pulling together related ideas; restating suggestions after the group has discussed them; offering a decision or conclusion for the group to accept or reject. . . .

*Consensus Testing:* Asking to see whether the group is nearing a decision; sending up a trial balloon to test a possible conclusion. . . .

Types of behavior relevant to the group's remaining in good working order, having a good climate for task work, and good relationships which permit maximum use of member resources, i.e., *group maintenance*, are as follows:

*Harmonizing:* Attempting to reconcile disagreements; reducing tension; getting people to explore differences. . . .

**Gate Keeping:** Helping to keep communication channels open; facilitating the participation of others; suggesting procedures that permit sharing remarks....

**Encouraging:** Being friendly, warm and responsive to others; indicating by facial expression or remark the acceptance of others' contributions....

**Compromising:** When own idea or status is involved in a conflict, offering a compromise which yields status; admitting error; modifying in interest of group cohesion or growth....

**Standard Setting and Testing:** Testing whether the group is satisfied with its procedures or suggesting procedures; pointing out explicit or implicit norms which have been set to make them available for testing....

Every group needs both kinds of behavior and needs to work out an adequate balance of tasks and maintenance activities.

## V. Emotional Issues: Causes of Self-Oriented, Emotional Behavior

The processes described so far deal with the group's attempts to work, to solve problems of task and maintenance; but there are many forces active in groups which disturb work, which represent a kind of emotional underworld or undercurrent in the stream of group life. The underlying emotional issues produce a variety of behaviors which interfere with or are destructive of effective group functioning. Groups often ignore such an issue or wish it away, an action that can be detrimental to their task-accomplishment as well as to the growth of the individual(s) whose behavior is based on self-oriented needs. The effective group will recognize what is going on, try to identify the issue, and then work with it in ways which permit these same emotional energies to be channeled in the direction of the group's effort.

What are these emotional issues or basic problems?

**Identity:** Who am I in this group? Where do I fit in?  
What kind of behavior is acceptable here?

**Goals and Needs:** What do I want from the group?  
Can the group goals be made consistent with my goals?  
What have I to offer to the group?

**Power, Control, and Influence:** Who will control what we do? How much power and influence do I have?

**Intimacy:** How close will we get to each other? How personal? How much can we trust each other? Can we achieve a greater level of trust?

What kinds of behaviors are produced in response to these problems?

**Dependency-Counterdependency:** Opposing or resisting anyone in the group who represents authority.

**Fighting and Controlling:** Asserting personal dominance, attempting to get own way regardless of others.

**Withdrawing:** Trying to remove the sources of uncomfortable feelings by psychologically leaving the group.

**Pairing Up:** Seeking out one or two supporters and forming a kind of emotional subgroup in which members protect and support one another.

These are not the only phenomena which can be observed in a group. What is important to observe will vary with what the group is doing, the needs and purposes of the observer, and many other factors. The main point, however, is that improving our skills in observing what is going on in the group will provide us with important data for understanding groups and increasing our effectiveness within them. Often, the most effective and useful group member will be the one who can function as "participant/observer," contributing to the group's task accomplishment, yet still able to use a "third eye" to observe how the group is working — information which he shares with the group at appropriate times in an effort to help it deal with maintenance issues and blockages arising out of self-oriented needs. □

## Functional Roles in Face-to-Face Groups

I. GROUP TASK ROLES -- participant roles which tend to facilitate and coordinate group efforts in the selection and definition of a common problem and in its solution.

1. Information Seeker -- asks for clarification of comments made in terms of their factual adequacy and information or facts relevant to the problem being discussed.
2. Information Giver -- offers facts or generalizations which are "authoritative or relates his own experiences pertinently to the group problem.
3. Opinion Seeker -- asks for clarification of the opinions of those about him; he is not primarily interested in facts but attempts to find out how people feel before moving ahead.
4. Opinion Giver -- States his beliefs or opinions pertinently to a suggestion made or to alternative suggestions. Emphasis here is on his proposal as to what group's attitude should be, not primarily upon relevant facts/info.
5. Diagnostician -- indicates the problems faced by the group: a process-oriented member who identifies problems, points out where in the problem-solving process the group is, how it's proceeding, and where to go next.
6. Orienter or Summarizer -- summarizes what has occurred, points out departures from agreed-upon goals, brings group back to central issue, raises questions about direction of group discussion, brings together a number of comments or ideas.
7. Energizer -- prods group to action or decision, attempts to stimulate the group to action, ie, "Let's do it," etc.
8. Elaborator -- elaborates ideas or contributions, offers rationale for suggestions already made, tries to deduce how a suggestion would work if adopted.
9. Initiator - Contributor -- contributes ideas and suggestions, proposes solutions, decisions; may propose "new" ideas or a novel way of re-defining group goals. Redefines old problems or offer novel ways of handling problems group is facing.
10. Evaluator - Critic -- subject accomplishments of the group to some standard(s). May question the practicality, the logic or facts of a suggestion or of group problem-solving. Does solution solve problem at hand? Feasible? Effects? May be Super-ego of the group.

II. GROUP BUILDING AND MAINTENANCE ROLES -- maintaining and enhancing the group as a group.

1. Encourager praises, agrees with, accepts contributions; shows warmth and solidarity in attitude toward others; offers commendation, understanding, acceptance of other points of view.
2. Parmonizer -- mediates differences between members; reconciles disagreements, relieves tension through jesting, etc.
3. Compromiser -- operates from within a conflict in which his ideas or position is involved. May offer a compromise by yielding, disciplining himself to maintain group's harmony or by coming "half way" in moving along with the group, changes his own ideas towards resolution of conflicts.
4. Gate-Keeper -- keeps communication channels open by encouraging or facilitating the participation of silent members, or by proposing regulation of the flow of communication, i.e., "Why don't we limit the length of our comments so that everyone will have a chance."
5. Observer -- watches group and makes suggestions about procedures and progress, interprets group behavior.
6. Feeling expresser -- makes open and explicit the group and/or individual feelings, gets emotional issues "out in the open," etc.
7. Standard - Setter or Ego - Ideal -- expresses standards for group to attempt to achieve its functioning, or applies standards in evaluating the quality of group processes.
8. Follower -- goes along with movement of group more or less passively accepting the ideas of others, serving as an audience in group discussion and decisions.

III. Individual Roles -- individualized roles which may or may not be relevant to the group task or the functioning of the group as a group. However, these roles have a clear effect on the group.

1. Aggressor - works in many ways -- deflating status of others; disapproval of values, acts or feelings of others; insensitive to feelings of others; attacks the group or problem it's working on; shows envy for another's contribution by belittling it.
2. Blocker - negativistic, stubbornly resistant, disagreeing, opposing without or beyond reason, attempting to maintain or bring back an issue after group has rejected it or bypassed it.
3. Recognition-Seeker -- works to call attention to himself whether through boasting, reporting personal achievements, acting in unusual ways, struggling to prevent being placed in an "inferior" position.

4. Playboy -- displays lack of involvement in group's processes, in form of cynicism, nonchalance, horseplay, etc.
5. Silent - Partner -- no one notices him, sits quietly, makes no active contribution.
6. Messiah -- self appointed leader who feels he has solutions to all of group's problems, but awaits the "call" to come in and take command - modern-day DeGaulle type.
7. Dominator -- tries to assert himself by his authority or superiority in ability in attempting to manipulate certain members; may assert a superior status or a right to attention (via training or experience), giving directions, etc.
8. Moralizer -- engages in moralistic sermonizing on the virtues of a given proposal or issue facing the group or in the "failure" of group in problem-solving.
9. Fatalist -- when faced with complex problem gives up easily or concludes problem as insoluble.
10. Conversationalist -- garrulous, outgoing, relevance of topic to problems may have little significance because he likes to be with people and to talk. Not to be confused with Dominator above.
11. Agent -- by his behavior makes the group suspicious about his role; may be active or silent, but leaves impression that he is a "spy" or a "plant."
12. Crusader -- has enviable goals of slaying dragons and rescuing damsels in distress, but ends up jousting windmills. Indiscriminately attacks irrelevant issues. Can be valuable contributor if someone can point his horse in right direction.
13. Anarchist or Revolutionary -- believes group's problems can only be solved by complete overthrow and destruction of existing social order. May be very active in group working behind scenes and outside of class developing "coup detats."
14. Rationalist -- believes group problems can be solved by application of formal rules of logic. Becomes disturbed when he sees other members openly show feelings, i.e., not playing by his rules.
15. Organizer -- believes group problems can be solved only if group sets up formal organizational structure with a strong leader who will assume responsibility for decisions and will lead group through its difficulties to the "promised land." May be similar to the Champion seeker, but is the one who the Champion seeker reaches for.
16. Conservative -- works actively with group and is accepting of any reasonable solutions, if members don't become antagonistic and rock the boat. Conservative is particularly disturbed by the anarchist. He may be confused with the rationalist and is similar.

**FISHBOWL EXERCISE: GROUP PROCESS  
OBSERVATION; NORMS AND VALUES****GOALS**

- I. To provide the students an opportunity to practice group process observation skills.
- II. To explore the various functional and/or dysfunctional roles that group members play around task performance, group maintenance, and self-oriented issues.
- III. To study the dynamics of group norm setting and the function values perform in groups.

**GROUP SIZE**

A minimum of twelve participants

**TIME REQUIRED**

One hour.

**PHYSICAL SETTING**

A room large enough to accommodate the group in two configurations: the whole group in a circle, and the group divided in half and arranged in a fishbowl (concentric circles).

**PROCESS**

I. The trainers explains that the purpose of the exercise is to give students the opportunity to practice group process observations skills. Half the group will be given a task to perform and the other half will act as observers of the subgroup as they work. It is explained that after a time, the groups will reverse roles and the observers will be in the fishbowl working on a different task. The trainers then divide the group in half, having one half move with one trainer to form a small circle in the center of the room. The other half of the group is moved to a corner of the room by the other trainer and Group Process Observation Guides are distributed. After briefing the observer group on the use of the guide, the trainer asks the observer group to decide who among the work group each will be primarily responsible to observe. Option: the trainer may assign persons to be observed. The trainer with the observer group checks for understanding of what the observers are accountable for, clarifying as needed, and moves them back to the work group. The students in the observer group take seats in a circle around the work group, positioning themselves where they have a clear view of the person they are to observe.

II. The first work group are assigned their task and given approximately 10-15 minutes to produce their product. The observer group report on what functional role they have observed their person taking in the work group, and any other pertinent process observations about what has just happened. The trainer then leads a brief discussion of how decisions were made in the group and what the group members satisfaction level is on those decisions. What might the group have done differently that would give greater satisfaction? The groups are then reversed, making sure to adequately brief the new observers on the use of the Guide, and the process is repeated.

#### TASKS FOR WORK GROUPS

First Work Group: Over the day and one-half that this group has been together in this course certain unstated ways of behaving have come into use. We call these unstated ways of behaving "norms." Some, you brought with you and have behaved in relation to each other according to these. Some, though, have developed here in the classroom and may even have developed as changes to the norms you brought with you. Make a list of the norms you have developed here in the course and rank them in terms of how serious a violation it would be if someone in the group broke this unstated rule.

Second Work Group: Values can be either stated or unstated. In both cases values tell us what is important to people, what they will defend if held strongly enough. Unstated values come through in behavior. Make a list of the unstated values which have been announced by what was said, done, not said or done in the group during the time you have been in the course. Rank them by how widely each is held in the group, with a rank of 1 being most widely held to k being the least widely held.

III. After each group has discussed what group roles it has observed the trainer leads a discussion on the norms and values of the group. Do these norms and values truly represent the group? Do they foster or detract from the work of the group?

# Executive Development Research Group

## Working Paper

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LDR 90

LEADER DEVELOPMENT COURSE

"LEADERSHIP FOR THE 90'S" PROJECT

MODULE 4: LEADERSHIP/FOLLOWERSHIP

(MODULE 4 OF 10 MODULES)

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30 November 1987

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## LDR90 TRAINING

## MODULE SEQUENCE

## MODULE 4

## DAY 2

TIME	EVENT	MATERIALS	TRAINER
1300	NEAT Meeting	Prepared chart 4.1 Lecturette	
1320	PE 4.1 "Want Ads" --Caring Leader --Dynamic Subordinate	Prepared handouts (sample ads)	
1450	Group Norms and Values, Ethics	Prepared charts 1, 2, 3	
1510	Peer and Subordinate Feedback	AFPR Form 1706a (cards)	
1520	PE 4.2 Competition/ Collaboration		
	Option A: "Cross-group Negotiation and Cooperation: Studying Group Dynamics"	Tinker Toy Sets	
	Option B: "Circle in the Square: A Cooperation/ Competition Activity"	Chart Paper/Markers	
1620	Dynamic Subordinancy (Warrior Spirit, Team- focused Leadership)	Lecturelettes	
1650	Review of module	Prepared chart 4G-1	
1700	Announcements and dismissal		

**MODULE 4**

Time: 4 hours

**I. Title of Unit: LEADERSHIP/FOLLOWERSHIP****II. Behavioral objectives:**

- A. To successfully influence others' behavior in terms of both short and long-term goals, while building effective working relationships with those others.
- B. To recognize the need for functional roles in a work team and to demonstrate ability to take several roles as required.
- C. To demonstrate an understanding of how lateral communications and other aspects of "dynamic subordinancy" enhances mission accomplishment.
- D. To use group development theory to explain group behavior and predict, as well as demonstrate, successful leadership behavior.
- E. To demonstrate observation skills and ability to apply them, along with effective feedback and active listening, in an after action review of small unit (work group) performance.
- F. To demonstrate an appreciation of time as a resource, and an understanding of how group time can be saved through effective meeting management.

**III. Example of why this training is needed:**

SQUAD LEADER: "I've been given the support mission and tasked to provide all of my SAWS to the lead squad. What I'll really do is give them my "shit", because if I don't, I won't have anything to use in the squad competition next month. Let those bastards fight the malfunctions. That puts the LT on their ass, not mine."

**IV. Method:**

- A. Present NEAT Meeting format. (20 minutes)
- B. Conduct "Want ad" exercise. (1 1/2 hours)
- C. Group norms and values (revisited). (20 minutes)
- D. Peer and subordinate feedback. (10 minutes)
- E. Conduct "Tinker toy" exercise. (1 hour)
- F. Dynamic Subordinancy and Group-centered Leadership. (30 minutes)
- G. Review. (10 minutes)

**V. References:**

- A. FM 22-100 "Military Leadership"
- B. FM 22-102 "Soldier Team Development"
- C. Handbook of Structured Experience for Human Relations Training, 1981.
- D. Excel Net Concept Paper No.44-86, "What Did We Learn During the Year of Leadership?"
- E. Structured Experience Kit, 1980
- F. FORSCOM Leadership Seminar, 1986-87
- G. Malone, D.M. and McGee, M.L. "The Orchestrators",

Army. August 1987, pp. 18-24.  
H. Anderson, Jeffrey W. "The Warrior Spirit," Military Review. July 1987, pp. 73-81.

VI. Attachments:

- A. Practical exercises
- B. Handouts
- C. Lectureettes
- D. Supplemental readings

**SUBMODULE 4A: MEETING MANAGEMENT**

**Time: 20 minutes**

**Sequence:**

1. Trainer presents lecturette on "NEAT" meeting format.
2. Trainer starts Module 4 using the "NEAT" meeting format.
3. Meeting effectiveness questionnaire is filled out at the end of Module 4.
4. Application to the unit, in terms of time management, is discussed at the end of the Module 4 presentation.

SLIDE 4A-1

NEAT MEETING FORMAT

N

NATURE OF MEETING

E

EXPECTATIONS

A

AGENDA

T

TIME

## LECTURETTE--CONDUCTING EFFECTIVE MEETINGS

A "meeting", according to Webster's dictionary, is a "coming together, a gathering of people, especially to discuss or decide matters." Since organizations often spend much time conducting meetings, effective use of this time benefits individuals and their organizations. Well run meetings can be used to greatly improve the effectiveness of a unit and its members. It enables the leader to more effectively clarify the unit mission, determine goals, obtain and assign resources, motivate personnel, cope with organizational changes, and determine and improve unit morale.

The leader who conducts an effective meeting will employ several leadership skills. These include active listening, effective message sending, time management, conflict management, problem solving and decision making, and process observation skills, to name a few. The skill area most vital in the initial stages of a well-run meeting is goal setting.

The outcome, or purpose of the meeting must be determined and understood from the start. The major contributing factor in the failure of a meeting to produce meaningful results is the lack of a clearly identified and understood purpose. The purpose of the meeting must be firmly established and communicated to everyone in attendance.

Often, the regularly scheduled weekly meeting will be held for no real purpose other than "We always meet on this day at this time." Meetings without a definite, clearly stated purpose are a waste of time. It is easy to spot the dissatisfaction and uneasiness among people attending such a meeting.

Generally, people will look forward to any meeting that they must attend only if 1) They view attendance as an opportunity to achieve personal goals and to satisfy their special needs or wants, and 2) They believe the meeting will contribute to achieving the goals of their unit.

Effective meetings can be summarized with the aid of a useful model that can assist you in preparing for meetings. It is called the NEAT model.

N is for the NATURE or purpose of the meeting. The purpose must be clearly established and communicated.

E is for the EXPECTATIONS that people have when they attend meetings. The expectations of the person who called the meeting, as well as those of the people attending, should be announced and understood.

A is for the AGENDA. The agenda should clearly communicate the purpose of the meeting, the topics to

be discussed, and the time allotted to each topic. The people who are attending a meeting should have an opportunity to provide input to the agenda.

T is for TIME. The time limits for the meeting must be clearly established and every effort made to adhere to the schedule.

Last, but not least, we must spend some time evaluating the way that we conduct our meetings. A Meeting Effectiveness Questionnaire can be used to provide you with valuable data about your meetings, and it can serve to remind you of some of the important items to take into account prior to a meeting. This questionnaire can be handed out at the end of the meeting to check out the reaction of those who attended the meeting. It provides an excellent place to begin planning for the next meeting.

Effective use of meeting time can lead to better coordination among individuals and groups in a unit. Successful meetings result in more economical use of resources, more effective control of unit operations, and a feeling of commitment to accomplish the unit's mission. Conducting effective meetings is one way that you, as a leader, can demonstrate to your subordinates that you consider their time as important, that you realize that time is a precious resource. Effective meetings produce effective units and enhance mission accomplishment.

## MEETING EFFECTIVENESS QUESTIONNAIRE

Place an X on the line that best describes how you would rate the effectiveness of the meeting.

Key: 1 - Sharply disagree; 2 - Disagree; 3 - Neutral; 4 - Agree;  
5 - Sharply agree.

1      2      3      4      5

1. I clearly understood the purpose of the meeting \_\_\_\_\_
2. The persons who were most directly involved with the purpose of the meeting were in attendance. \_\_\_\_\_
3. All persons present had the opportunity to participate by expressing their views and opinions. \_\_\_\_\_
4. I had sufficient time to prepare for the meeting. \_\_\_\_\_
5. The leader of the meeting maintained the focus on the purpose, not on side issues. \_\_\_\_\_
6. I can easily support the results of the meeting because I understand clearly what is expected of me. \_\_\_\_\_
7. The leader of the meeting was open to all ideas that were presented. \_\_\_\_\_
8. I understood what was expected of me during the meeting. \_\_\_\_\_
9. Ideas that were presented were clarified and readily understood by all present. \_\_\_\_\_

**1            2            3            4            5**

10. I understood the ideas that were presented during the meeting. \_\_\_\_\_

11. The participants who were present wanted to work for the best interest of the organization's mission. \_\_\_\_\_

12. At the conclusion of the meeting, it was obvious to me that everyone knew what was expected of them. \_\_\_\_\_

13. The proper amount of time was allocated for the meeting. \_\_\_\_\_

14. The agenda/topics were prioritized with the most important topics coming first. \_\_\_\_\_

15. The agenda/topics of the meeting were displayed so all persons present could see them. \_\_\_\_\_

16. Important ideas were recorded, thereby retaining valuable information for future use. \_\_\_\_\_

17. At the conclusion of the meeting, time was allocated to review the effectiveness of the meeting. \_\_\_\_\_

SUBMODULE 4B: "WANT AD" EXERCISE

Time: 1 1/2 hours

Sequence:

1. Trainer divides participants into 3 groups. Intact platoon chains of command may be used.
2. See attached PE "Boss Wanted/Group Member Wanted" for conduct of the practical exercise.

**Title of exercise: BOSS WANTED/ SUBORDINATE WANTED**

**Goals:**

- I. To allow group to examine their criteria for a good immediate superior in the chain of command.
- II. To allow group to examine their criteria for a good immediate subordinate in the chain of command.
- III. To increase awareness of one's own current strengths and shortcomings as both a senior and a subordinate.
- IV. To experience the power of synergy and need for consensus in a group effort.

**Group size:**

Ten to fifteen participants per group.

**Time Required:**

Approximately one and one-half hours.

**Materials:**

- I. Newsprint and a felt-tipped marker for each group.
- II. Blank paper and a pencil for each participant.

**Physical Setting:**

A room large enough to allow the groups to meet separately.

**Process:**

- I. The trainer discusses the goals of the activity.
- II. Blank paper and pencils are distributed to the participants.
- III. The participants are tasked with developing a newspaper want ad. They are to advertise for a caring leader for themselves. The ad is not to be job-specific, but rather focus on the type of person for whom they would like to work, not only now, but even 5 years from now.
- IV. The participants are formed into groups with as many ranks as possible represented in each group.
- V. Each group must then develop, on butcher paper, one agreed-upon ad. The individual ads may be used as resources upon which the group can draw. The group is directed to expand and clarify its advertisement, listing both the essential and desirable characteristics they believe the applicant must have. The concept of "caring leadership" must be addressed, and the ads must not exceed fifty words in length. Consensus must be reached; voting is not allowed.
- VI. Each group presents its list of required and desired attributes, and members of other groups request clarification and respond.

VII. Subgroups meet again. The process is repeated, but this time the ad is entitled "Subordinate wanted" or "Work team member wanted." The concept of "dynamic subordinancy" must be addressed. Again, consensus must be reached; voting is not allowed.

VIII. Subgroups meet again, and members individually evaluate themselves in terms of their group's criteria.

IX. The entire group assembles to discuss the exercise. The following sequence is followed to debrief and process the activity:

1. Members' reactions to differing criteria.
2. Comparisons and contrasts between criteria for job of "boss" and job of "subordinate, or work group member."
3. Summary reports of work group discussions.
4. New learnings about self and/or role expectations.
5. Applications for this small unit.
6. Relevance of the terms "caring leadership" and "dynamic subordinate" for this unit.

Variations:

I. Subgroup members can write "Job Wanted" ads for themselves, focusing on their own strengths as leaders and as work group members.

II. When working with intact groups, the subgroup members can be instructed to share perceptions of their own strengths and solicit feedback from other members during step VIII.

III. One list can be developed during step VI to represent the thinking of the entire group.

Source:

Originally published in Pfieffer and Jones (Eds.), A Handbook of Structured Experiences for Human Relations Training, 1981. (Based on material submitted by Graham L. Williams).

## CONTROLLER

Growing non-profit organization located in Northern Virginia with \$1 billion in assets and several related organizations requires an experienced individual to manage the Accounting Department. The candidate must be highly motivated, a CPA with 3 to 5 years of related experience. The position requires computer knowledge, a technical knowledge of GAAP and familiarity with current accounting practices as they relate to employee benefit plans. The ability to grasp complex financial transactions and their application to financial reporting is essential.

Salary in the mid \$30's plus a full benefit package. E.O.E.

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SUBMODULE 4C: GROUP NORMS AND VALUES

Time: 20 minutes

**Sequence:**

1. Trainer leads discussion of group norms and values.  
Stated vs operating values are discussed.
2. Results of "Want ad" exercise are discussed, in terms of  
values that we seek in our organization.
3. Trainer shows slides (3) from FORSCOM 86-87 Leadership  
Seminar. Discussion compares these slides with results of group  
work just completed.  
Slide 1--Values  
Slide 2--Lessons (Re)learned  
Slide 3--At A Glance

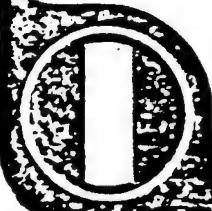
**VALUES**

**CANDOR**

**COMMITMENT**

**COURAGE**

**COMPETENCE**



## **LESSONS (RE) LEARNED**

- YOU CAN TRUST GOOD PEOPLE
- TO WIN YOU MUST DECENTRALIZE
- CLARIFICATION AND ENFORCEMENT OF STANDARDS DEMANDS CONTINUOUS ATTENTION
- AMBITIOUS, HEALTHY PEOPLE NEED FEEDBACK
- INSPECTIONS AND REPORTS MUST SUPPORT COMMAND PRIORITIES
- "LEADERSHIP" IS EASILY BLAMED OR PRAISED; HARD TO MEASURE

## AT A GLANCE • • •

- LEADERSHIP GOAL IS PRODUCTIVITY, NOT HAPPINESS
- LEADERSHIP ITSELF IS JUDGED BY FOLLOWERS
- LEADERS WORK WITHIN AN ORGANIZATIONAL CLIMATE
- HOW TO DECENTRALIZE, FOCUS, AND HARMONIZE IS THE TRICK
- MOST ETHICAL DILEMMAS STEM FROM MANAGERIAL INCOMPETENCE
- COHESION AND COMMITMENT ARE TRUST — DEPENDENT

**AUTHORITY, POWER, LEADERSHIP**  
**(THE "A-P-L" MODEL)**

**AUTHORITY**

Authority resides in the relationships between positions in an organization. An influence attempt based on authority is not resisted, because it is expected that such influence attempts will be necessary in order for recognized objectives to be accomplished.

**POWER**

Power is the capacity to deprive another of needed satisfactions or benefits, or to inflict "costs" on him for noncompliance with an influence attempt. The recipient of the influence may resist, seek the reward by ulterior means, or seek to avoid the punishment by leaving the situation whenever possible. Implications for organizational effectiveness stem from the cost of such resistance.

**LEADERSHIP**

Leadership is the most difficult of the three concepts to define. Leadership is an interaction between two persons in which one presents information of a sort and in such a manner that the other becomes convinced that his outcomes (Benefits/costs ratio) will be improved if he behaves in the manner suggested or desired.

Communication skills are more important in leadership than in influence attempts based on either authority or power, because its essence is the development of a new state of knowledge, belief, or attitude in the target of the influence attempt.

**MILITARY LEADERSHIP**

"Military leadership is a process by which a soldier influences others to accomplish the mission."

FM 22-100, page 44.

## WHAT IS LEADERSHIP?

LEADERSHIP IS AT BEST A SENSITIVE AND EMOTIONAL ISSUE. THERE ARE VERY STRONG FEELINGS ABOUT LEADERSHIP AND PARTICULARLY ABOUT WHO SHOULD BE TELLING WHOM ABOUT ITS PRINCIPLES.

IN ANY GROUP, LEADERSHIP DOES NOT WHOLLY RESIDE WITHIN ONE MAN BUT IS DIFFUSED WITHIN THE GROUP WITH MANY MEMBERS OF THE GROUP EXERTING INFLUENCE OF ONE FORM OR ANOTHER OVER THE GROUP PROCESSES.

LEADERSHIP CAN BE DEFINED AS ACCOMPLISHING GOALS THROUGH PEOPLE.

LEADERSHIP CAN BE DETRIMENTAL TO THE ORGANIZATION IF THE LEADER'S GOALS DO NOT RELATE TO THAT ORGANIZATION. (INDIVIDUAL GOALS VS ORGANIZATIONAL GOALS).

**LEADERSHIP FOR THE NINETIES: WHAT DOES IT DO?**

IT IS MORE THAN JUST GOOD LEADERSHIP. IT BLENDS SUCCESSFUL COMMAND AND LEADERSHIP PRACTICES WITH THE LATEST AND BEST DEVELOPMENTS IN APPLIED BEHAVIORAL SCIENCE AND MANAGEMENT.

**OUTCOMES:**

- 1. IMPROVED COMBAT READINESS**
- 2. IMPROVED COMMUNICATIONS AND PROBLEM SOLVING**
- 3. BETTER USE OF UNIT TIME AND RESOURCES; LESS MAKE-WORK AND LESS ABUSE OF SOLDIER TIME**
- 4. INCREASED INVOLVEMENT AND COMMITMENT OF PEOPLE AT ALL LEVELS TOWARD ACCOMPLISHING REALISTIC OBJECTIVES**
- 5. GREATER SOLDIER COMMITMENT AT ALL LEVELS**

THE FOCUS IS ON HOW THE ARMY, AS AN ORGANIZATION, OPERATES FROM THE TOP DOWN TO THE SMALL UNIT LEVEL. LEADERSHIP FOR THE NINETIES EXTENDS INDIVIDUAL LEADERSHIP SKILLS AND EXPANDS OUR OPTIONS FOR MOTIVATING PEOPLE, SOLVING PROBLEMS, AND ACCOMPLISHING MISSIONS, GOALS, OBJECTIVES, AND TASKS AT EACH ORGANIZATIONAL LEVEL.



**Military Leadership: A Leader is a Follower is a Leader.**

## **On Leadership —**

The badge of rank which an officer wears on his coat is really a symbol of servitude to his men.

*General George S. Patton, Jr.*

**SUBMODULE 4D: PEER AND SUBORDINATE FEEDBACK**

**Time: 10 minutes**

**Sequence:**

1. Trainer passes out "Most Important Leader Behaviors" card (AFPR Form 1706a, 1 June 86) to each participant.
2. Trainer leads discussion of peer and subordinate feedback and encourages participants to solicit feedback by handing reproductions of the card to their peers and/or subordinates.
3. Implications of using these cards are discussed in terms of establishing group norms and values.

**Reference: ARI Technical Report 623 (Mar 84).**

**MOST IMPORTANT LEADER BEHAVIORS\***

1. **TASK/MISSION ORIENTED** . . .  
1. Makes sure subordinates obey rules and regulations. (Candor & Commitment)  
2. Counsels people who violate rules, regulations, or orders. (Candor & Commitment)  
3. Encourages use of standardized procedures. (Competence & Commitment)  
4. Makes on the spot corrections. (Courage & Candor)  
5. Helps subordinates improve an ongoing task/session. (Commitment & Competence)  
6. Makes sure work is organized. (Competence)  
7. Explains how a task/session can be done. (Competence)  
8. Makes sure subordinates have necessary training. (Commitment)  
9. Teaches subordinates how to improve performance. (Competence & Commitment)  
10. Uses "hands on" training. (Competence)  
11. Plans ahead. (Competence)  
12. Counsels subordinates who don't do their share. (Courage & Candor)  
13. Trains subordinates as a team. (Commitment & Competence)  
14. Specifies how the finished task/session should look. (Candor & Competence)  
15. Tells subordinates what is expected of them. (Candor)  
16. Seeks responsibility. (Commitment & Courage)  
17. Maintains high standards. (Competence & Courage)  
18. Checks task/session progress. (Competence & Commitment)  
19. Sets the example. (Courage & Competence)  
20. Has good job knowledge. (Competence)
21. Is able to apply knowledge in the field. (Competence)  
22. Sets a time for tasks/sessions to be done. (Candor & Commitment)  
23. Provides resources to do the task/session. (Commitment)  
24. Lets subordinates know where they stand concerning their performance. (Candor)  
25. Develops subordinates. (Competence & Commitment)
- II. **PEOPLE ORIENTED**  
1. Listens to people. (Candor & Commitment)  
2. Treats people with respect. (Commitment & Candor)  
3. Is easy to talk to. (Commitment)  
4. Takes care of subordinates and shows personal concern. (Commitment & Courage)  
5. Helps people take care of personal problems. (Commitment & Courage)  
6. Gives praise. Rewards good performance. (Commitment & Candor)  
7. Has a sense of humor. (Commitment)  
8. Maintains good morale among subordinates. (Commitment)  
9. Uses subordinates' suggestions. (Candor & Commitment)  
10. Stands up for subordinates when they receive unreasonable demands or blame. (Courage)  
11. Goes to bat for subordinates to get things they deserve. (Courage)  
12. Is willing to make changes. (Courage)  
13. Asks for suggestions/ideas from subordinates. (Candor & Courage)  
14. Helps settle disagreements between subordinates. (Courage)  
15. Shares hardships. (Courage)

\*From ARI Technical Report 623 (Mar 84).

## SUBMODULE 4E: PE ON COMPETITION AND COLLABORATION

Time: 1 hour

Sequence:

1. Trainers conduct PE on competition and collaboration using either option A: "Cross-group Negotiation: Studying Group Dynamics," or B: "Circle in the Square: A Cooperation/ Competition Activity."
2. Trainers lead a discussion at the end of the exercise on the lessons learned about the effects of competition/ collaboration on group task performance, morale and task satisfaction. If Option A is used the effects of sharing/not sharing limited resources is a critical discussion item.
3. Trainers use this experience as a lead in to a discussion of the concepts of "Dynamic Subordinancy" and the Warrior Spirit in the next submodule.

# CROSS-GROUP NEGOTIATION AND COOPERATION: STUDYING GROUP DYNAMICS

## *Goals*

- I. To provide an opportunity to experience the effects of cooperation in task-group functioning.
- II. To explore the effects of conflicting objectives on the behavior of members of a task group.
- III. To increase awareness of the positive effects of planning, negotiation, and sharing of resources among work-group members.

## *Group Size*

Two to six groups of four members each.

## *Time Required*

Approximately one and one-half hours.

## *Materials*

- I. A copy of the appropriate Cross-Group Negotiation and Cooperation Instruction Sheet for each group member.
- II. A large box of Tinkertoys® (350 pieces) for each group.
- III. Newsprint and a felt-tipped marker.

## *Physical Setting*

A room large enough to allow the groups to work separately, preferably on the floor.

## *Process*

- I. The facilitator divides the participants into groups of four members each and instructs the groups to assign a number to each member by counting off.
- II. The facilitator gives each group a set of Tinkertoys and gives each participant a copy of the appropriate Cross-Group Negotiation and Cooperation Instruction Sheet, i.e., member 1 in each group receives instruction sheet 1, etc.
- III. The facilitator announces that the members have twenty-five minutes in which to complete all their tasks.
- IV. The facilitator calls time and directs each group to display its constructions.
- V. The entire group is reassembled, and the members share their reactions to the activity and then discuss their experiences by reviewing the following points:
  1. Did each group complete all the tasks assigned?
  2. How did each group decide the order for completing the tasks? Was a plan for accomplishing all the tasks discussed?

3. Which task was easiest for members to accomplish? Which as most difficult?
  4. Which task gave the most satisfaction? Which task gave the least satisfaction?
  5. How were information and resources shared within the groups?  
(Twenty minutes.)
- VI. The facilitator helps to summarize the main points from the general discussion and reconvenes the work groups to process the learnings. Group members are directed to discuss the experience by focusing on the following questions:
1. What did members learn from their group's functioning? What did participants learn about their own behavior as a member of a group?
  2. What would members do differently if they had to repeat the activity?  
(Fifteen minutes.)
- VII. The facilitator calls for a report of key learnings from each subgroup. (Ten minutes.)
- VIII. Group members are instructed to develop applications of their learnings to their back-home situations. (Ten minutes.)
- Variations*
- I. Participants can be informed that they are competing with other groups. The task processes can be timed or completed structures can be judged on aesthetics, stability, or creativity.
  - II. Larger subgroups can be formed with more than one member receiving the same set of instructions.
  - III. When working with intact work groups, an additional discussion question can be added during step VIII to help group members apply their learnings to improve their intragroup cooperation.
  - IV. Work-group composition can be based on specific criteria such as job description, sex, etc.

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Submitted by Barbara L. Fisher and Roberta G. Sachs.

Originally published in J.W. Pfeiffer & J.E. Jones (Eds.), *A Handbook of Structured Experiences for Human Relations Training* (Vol. VIII). San Diego, CA: University Associates, 1981.

CROSS-GROUP NEGOTIATION AND COOPERATION INSTRUCTION SHEETS

Each member of the four member groups receives one of the four instructions sheets below. No member of the same group should have the same instructions.

INSTRUCTION SHEET 1.

You are to build a tinker-toy structure  
with all the members of your group

---

INSTRUCTION SHEET 2.

You are to build a tinker-toy structure  
with one other member of your group

---

INSTRUCTION SHEET 3.

You are to build a tinker-toy structure by yourself

---

INSTRUCTION SHEET 4.

You are to build a tinker-toy structure  
with a member of another group

---

# CIRCLE IN THE SQUARE: A COOPERATION/COMPETITION ACTIVITY

## *Goals*

- I. To demonstrate how cooperation and competition can affect winning and losing.
- II. To explore how winning and losing are defined, perceived, and measured.

## *Group Size*

An unlimited even number of groups of two to eight members each.

## *Time Required*

Approximately one hour.

## *Materials*

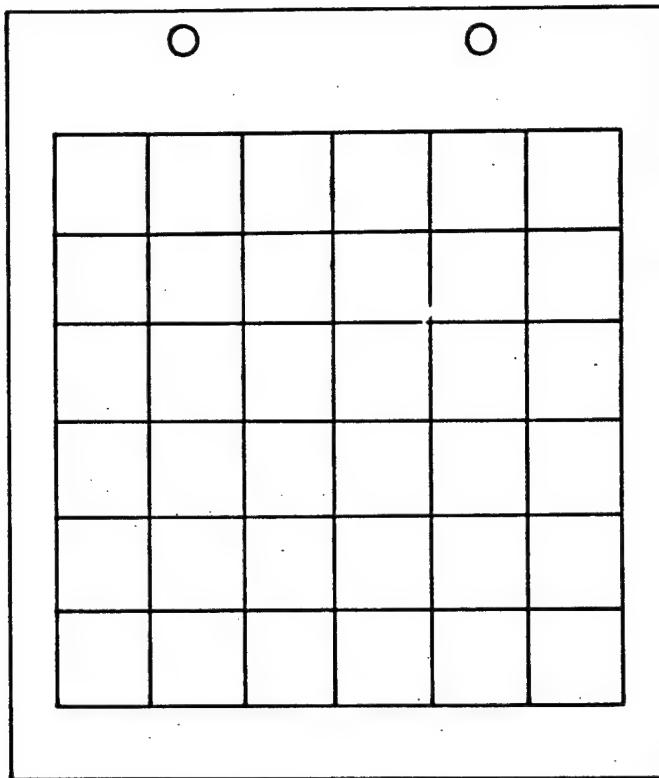
- I. Two felt-tipped markers of different colors for each pair of groups.
- II. One sheet of newsprint, with the chart with thirty-six squares drawn on it, for each pair of groups.
- III. A watch with a second hand.

## *Physical Setting*

One room large enough to accommodate the activity.

## *Process*

- I. The facilitator explains to the participants that they will have an opportunity to invest ten cents each in order to gain a greater return on their money. He emphasizes the fact that skill is all that is required to achieve this success. He then collects ten cents from each of the participants.
- II. The facilitator displays on newsprint a chart with thirty-six squares. He explains that the activity will be carried out by pairs of groups, using the chart and felt-tipped markers. (The facilitator does not use the word "teams" or introduce the element of competition in his description of the activity.) He explains that the activity will be carried out as follows:
  1. Each group will use a different-colored marker to place a circle in a square during the group's "move." Each group's objective is to complete rows (horizontal, vertical, or diagonal) of five squares marked with circles of the group's color.
  2. A group will mark one circle in one square per move, and moves will be made alternately by the two groups.
  3. Each group is allowed thirty seconds for each move; the move is lost if not made within that time.
  4. Each group will be allowed ten minutes for a strategy session before the marking begins.



5. The activity will be completed when each group has had an opportunity to make fifteen moves.
  6. The return on the members' investment is based on the number of rows of five consecutive squares filled in by their group. (No mark can be counted twice.)
- III. The facilitator divides the participants into pairs of groups. Each group meets separately for ten minutes to plan its strategy. Each group elects a "marker" who will draw a circle in the group's chosen square on the newsprint. The "marker" can confer with his group before each move but must stay within the time limit of thirty seconds per move.
- IV. The facilitator flips a coin to determine which group in each pair will move first. The groups then move alternately until each group has had a chance to move fifteen times. The facilitator keeps the groups within the thirty-second time period for each move.
- V. At the completion of the activity, the facilitator "scores" the activity according to the following chart:

<b>Players Per Group</b>	<b>Return/Line Completed (3 Lines Maximum)</b>
2-3 people	\$ .10-.15
4-5 people	.15-.20
6-7 people	.25-.30
8 people	<b>.35</b>

He then pays the groups the return on their investments according to the chart. Any remaining money is distributed to the members of the "winning" group.

VI. The facilitator leads the participants in a discussion of the experience, focusing on the following elements:

1. The meaning of winning. (Is it winning money, making the other group lose, achieving a higher score than the other group, gaining cooperation from the other group, etc.?)
2. The feeling of winning. (This can be explored in terms of winning money, achieving more points, preventing the other group from winning, etc.)
3. The fact that the facilitator did not verbally try to create a competitive atmosphere.
4. The fact that most groups are so competitive they do not see that if they cooperate and do not block the other group's moves, each group can complete three lines (a win-win solution). In the process of competing, most groups will block the other group's moves to the extent that neither may complete any lines at all.
5. The concepts of cooperative and competitive achievement, win-win versus win-lose strategies, trust, etc. (These can be discussed and related to the group's experience.)

#### Variations

- I. Other tasks for the groups can include words to be formed from selected letters, with points for the number of words and letters.
- II. Instead of using different-colored markers, paired groups can mark their squares with different symbols.
- III. The payoff schedule can be adapted to reflect the completion of rows of three, four, five, or six squares.
- IV. At the end of round 8, each group can choose either to confer among themselves or to confer with the members of their paired group. (Ten minutes.)
- V. The structured experience can be carried out without using money.
- VI. The total group can decide before the activity how any remaining money will be spent or distributed or the group can make this decision after the activity, making sure that it is a win-win solution.

---

Submitted by Clyde E. Lee.

Originally published in J. W. Pfeiffer & J. E. Jones (Eds.), *A Handbook of Structured Experiences for Human Relations Training* (Vol. VI). San Diego, CA: University Associates, 1975.

**SUBMODULE 4F: DYNAMIC SUBORDINANCY**

**Time: 30 minutes**

**Sequence:**

1. Trainer presents lecturette on dynamic subordinancy and warrior spirit.
2. Trainer leads discussion, based on "Tinker toy" exercise experience.
3. Group discusses application to their unit.

## LECTURETTE--DYNAMIC SUBORDINANCY

What does it mean to be a dynamic subordinate? It means not just doing your job and stopping within the specific limits of your own duties as specified in your job description. It means developing the practice of always "thinking one level up". It means striving to always look at the next larger picture, to realize that your duties are part of some even larger whole. You can support that larger whole best by taking a total systems view of everything you do. You are a subsystem--your unit is the larger system. Likewise, your higher headquarters is operating a larger system, of which your unit is a smaller subsystem.

What does it mean to take a systems view? It means that you understand how all of the pieces fit together, like so many interlocking parts in a machine. If one piece malfunctions, the whole machine malfunctions. Actually, a machine analogy is too rigid. Machine parts don't need to be as interdependent as do members of a combat organization. A better analogy is what the musicians in an orchestra have to do together. They don't succeed by all hitting a note at the same time; that would be an awful sound! They "orchestrate" by communicating, cooperating, and coordinating, so that each contributes to the whole effort at the right time and place. They develop a common rhythm in working together as a musical team.

Being a dynamic subordinate means you have to be able to see beyond the end of your desk or beyond the limits of your fighting position. You know what the guy above you is doing and how he is thinking about the problem and what he needs from you to get the job done. It means you know what your peers on either side of you are doing, how they are looking at the problem. You know their jobs and you understand their frame of reference. If you do not, then you don't assume anything. You go to them, look them in the eye, and ask the right questions until you know their plans as well as they do, and as well as you know your own. You also insist that they know your plans that well, too.

How about subordinates? The same principle applies. You help them become dynamic subordinates by allowing them to always understand the frame of reference that you, their boss, is using. That means they know the big picture--they know how they fit, and how each of their peers fit. If a piece malfunctions, each of them knows how to fill in for that piece if needed. That means cross-training is taken seriously by all of you. And it means you give your subordinates time to prepare to fulfill your mission.

Let's go back to the idea of "thinking one level up". That means sharing your boss's frame of reference. It means you know how his mind works so well that you can support him even in the absence of further orders. It means if he is killed or wounded in action you can step in and execute his plan and perform his duties on short notice any time it is necessary to do so. That

means when he gives an operations order, you understand the commander's concept and the commander's intent so well that you can execute it and support it without any additional guidance. If commo goes out, or circumstances change, you know what to do and can do it in full confidence that you are operating in full support of your boss's overall intent. You don't have to sit and wait for permission to take further action. It also means that you know your own intent, and the intent of others like you in the unit, well enough to assess accurately what they would need or do if you, your boss, or their boss were taken out of action.

How do you train "dynamic subordinates"? You focus your training, in the field and in garrison, on these three concepts:

1. Train for the "next in command" ARTEP. The leader is removed at any time during the mission, and the unit can still accomplish that mission. This can also be applied to garrison. Randomly pick one or two unit members for an official day off. For them, it becomes a stress reduction technique. For you, it becomes a chance to see if "dynamic subordinancy" has been imbedded in that sub-unit. Can the mission be accomplished in their absence? If not, is that unit really ready for combat? What is implied here, of course, is that leaders at all levels really understand discretion by level. They know exactly what they are accountable for and how much latitude they have in carrying out their duties at that level. The reward structure must reinforce the same message, or "dynamic subordinancy" becomes a joke, as does "discretion by level". People have to have the flexibility to get their jobs done, and that means their bosses must demonstrate a high level of trust in their judgment. Otherwise it must be made clear that their discretion is only within specified limits, and that compliance rather than trust is to be expected in other areas.

2. Positive mental attitude. Approach everything as an exciting new challenge, as a puzzle to be solved, as an opportunity to do something new or to do it in a new way. Build this attitude into your unit training. If you know the task so well that it has become boring, then focus on cross-training. If you switch jobs within the unit, can you achieve the same standard? Unit integrity is still the key, but focus on increasing the depth, adaptability, and versatility of your unit response to the challenge. Focus on creatively solving problems, and welcome the opportunity that new challenges present to you.

3. Action planning and goal setting. Always be thinking a little farther ahead than you are required to. Know what the next step is. Know what is coming up in the future. Know the goals you have for your unit and the goals that each of your subordinates has for his sub-unit and for himself. What does he need from you to achieve those goals? What does your boss need from you in support of his goals? Are you clear on how these cascading sets of goals support one another? Have you planned the path to accomplish each of them? Do your people

understand how these levels of goals fit together and mutually support, and what the soldiers of your unit can do to make it all work at their level?

References: Malone,D.M. and McGee,M.L. "The Orchestrators",  
Army, August 1987, pp. 18-24.  
Crockett, W.J. "Dynamic Subordinancy". OE Communique,  
Vol 5, No. 3, 1981, pp. 20-26.  
FM 22-102 Soldier Team Development.

## LECTURETTE--WARRIOR SPIRIT

There is very little argument that, to be successful in battle, military leaders at all levels and ranks must have what may be termed a "warrior spirit". Identifying and cultivating this spirit is the challenge--we must instill the mental toughness required of the warrior leader.

The warrior spirit encompasses all of the physical, mental, and moral qualities essential to successfully lead soldiers in combat and, as a leader, to determine the effectiveness of the unit in combat. A historical analysis of combat leadership indicates that in no case did a unit in combat overcome the deficiencies of its leader. In almost every case analyzed, however, the leader overcame startling unit deficiencies and incredible external problems, generally by the sheer force of his own will, his warrior spirit.

In behavioral terms, the warrior spirit for a leader may be summarized as:

- A selfless devotion to accomplishing a duty or perceived noble cause.
- Leadership by personal example--especially applying high but achievable standards to himself and his unit.
- A reasoned acceptance of risk--calm, confident and self-controlled in the face of mortal danger.
- Decisiveness despite unreliable, incomplete and often inaccurate information.
- Being effective at communicating instructions so that every member of the unit knows and understands what the leader wants.
- Creating a team or cohesive unit that all work as one to achieve the noble cause or purpose and training that unit for combat.

The characteristics of the warrior spirit and the selection process for choosing potential warriors are the same for CS and CSS officers as for CA officers. These are:

- Selfless devotion to duty.
- Leadership by personal example.
- Reasoned acceptance of risk.
- Decisiveness.
- Effective communication.
- Skill at team-building.

Research to date on the warrior spirit indicates that the confidence, commitment, candor, and courage ideals set forth in Field Manual 100-1, The Army, in fact, describe the warrior. An

increase in the number of soldiers in the Army who possess these ideals should improve the overall combat readiness. Creating an Army with warrior leaders and a resultant force of warriors will require a combination of selection and training procedures to identify those most likely to succeed as warriors and then train them in realistic, bloodless combat to provide the experience and tactical skills essential for combat effectiveness.

To achieve the cohesion essential to developing this warrior spirit in all units, this enthusiasm and devotion to the highest standards of duty performance, a certain degree of personnel stability will be required. It is impossible to train to fight as a team if you, the leader, are uncertain who the members of that team are. Personnel turbulence is a significant detraction from personnel readiness and the development of a warrior spirit. Our personnel policies must always contribute to this needed stability.

REFERENCE: Anderson, Jeffrey W. "The Warrior Spirit", Military Review. July 1987, pp 73-81.

## LECTURETTE--A TEAM FOCUS FOR LEADERSHIP

Leading a cohesive combat unit requires a variety of skills. The leader must understand how individual motivation, group structure and process, the behavior of the leader, organization design and environmental factors all work together in complex ways to produce human performance in combat organizations.

A complete leadership philosophy must focus on the leader's interactions with the members of his unit to accomplish the mission, satisfy the needs of the individuals, and maintain team unity. By focusing on the interdependence of the leader, the led, and the team, we would not only develop junior leaders who appreciate the importance of their actions in the leadership process, we would also provide units with a philosophy that drives home the fact that cooperation and teamwork are the keys to success. The functional approach does not emphasize what a leader is, knows, or does (although those attributes are obviously important). Rather, it emphasizes his ability to provide necessary functions in a manner acceptable to the group, its members, and the situation. This concept of leadership, based on the needs of the team, the mission, and the individuals, accounts for why men fight and provides a framework for building effective, cohesive units. (See slide ).

The functional approach's premise is that leadership is learned, not taught. There is no "right way" to lead. There are no low-risk situations for junior leaders once they don their green leadership tabs, for they are then under the constant scrutiny of their soldiers, our toughest judges of leadership. The young officer needs to know the answers to such questions as, "How do I lead? What do others think of my leadership style? Does my style work? How do I build teamwork and cohesion in my men?" Practice and feedback are the only ways to find out. By stressing the interactive aspect of leadership in training programs (such as this one). By stressing the interactive aspect of leadership in training programs, we will cause students to focus less on individual performance and more on creating unity of effort within their group.

Although important as a leader development model, a concept of leadership based on the interdependence of the three elements would have its greatest effect in units. The incorporation of such a concept would have to start at the top and would require the Department of the Army to develop policies that address group needs by providing for better personnel and unit stability. These would include, for example, rotating units, not individuals, to overseas assignments and keeping soldiers and officers in one set of units for most of their careers. Although some of this is being done, it is not a consistent practice, and it is not part of an overall leadership philosophy.

Once these policies are established and incorporated into an

interactive philosophy of leadership, the effects will be felt throughout the force. Divisions, brigade and battalions will realize much less duty position turbulence and will naturally turn to doing those things that build teamwork. They will find ways to increase crew, squad and staff stability. They will stress decentralized training over consolidated instruction. Trust and confidence at all levels will increase, and cooperation between units will mean more than individual accomplishment. Commanders will be better able to communicate their operational intent to subordinates when they have worked together in a number of assignments. Habitual relationships with supporting units will be enhanced as units work together consistently. Perhaps the most important impact of a leadership concept based on the team si at the small unit level.

On a larger scale, the adoption of a team-based leadership philosophy in the Army would provide the basis for policies such as the COHORT program, the continued implementation of the regimental system, and the initiation of other actions that would promote stability, cohesion, and teamwork. It is not enough to write effective operations doctrine for AirLand Battle. We must develop a philosophy of leadership that will allow us to build the strong teams at all levels that will win that battle.

References:

- Gardner, G.C. "A Team Focus for Leadership, "Military Review. March 1987, pp. 74-79.  
Adair, J.A. Training for Leadership. MacDonald and Co., London, 1968.  
Prince, H.T. and Priem, R.G., "Think Piece: Leadership at Every Level," Department of BS&L, West Point, N.Y., 1985.

**SUBMODULE 4G: REVIEW**

**Time: 10 minutes**

**Sequence:**

1. Trainer leads participants through review of NEAT meeting format, conduct of "Want Ad" exercise, group norms and values, peer and subordinate feedback, "Tinker Toy" exercise, dynamic subordinancy and warrior spirit.

2. Applicability of these concepts is discussed in terms of this particular chain of command.

- A. NEAT meeting format
- B. "Want Ad" exercise
- C. Group norms and values
- D. Peer and subordinate feedback
- E. "Tinker Toy" exercise
- F. Dynamic subordinancy
- G. Review

# **Executive Development Research Group**

## **Working Paper**

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LDR 90

LEADER DEVELOPMENT COURSE

"LEADERSHIP FOR THE 90'S" PROJECT

MODULE 5: UNIT GOAL SETTING

(MODULE 5 OF 10 MODULES)

Lawrence R. Boice and James T. Maguire.

Army Research Institute

30 November 1987

**Manpower and Personnel Research Laboratory**



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## LDR90 TRAINING

## MODULE SEQUENCE

MODULE 5  
(formerly MODULE 6)

## DAY 3

TIME	EVENT	MATERIALS	TRAINER
0800	Looking three years out:  a. O-M-R Model  b. Unit mission  c. Goals and Objectives  d. Setting Standards	Prepared chart 5.1 Lecturette Handout w/ cartoon Chart paper and markers	
1000	Functional standardization	Lecturette Prepared chart (organizational energy)	
1100	Tying individual goals to unit goals	Lecturette	
1140	Review of module	Prepared chart 5.2 (lessons relearned)	
1200	Lunch Break		

**MODULE 5**

**TIME: 4 hours**

**I. Title of Unit: Unit Goal Setting**

**II. Behavioral objectives:**

- A. To identify the leader's role in the planning process.
- B. To develop the ability to construct effective planning outcomes.
- C. To develop the ability to set appropriate standards for a small unit.
- D. To understand, from a systems perspective, the role of a small unit in relation to its larger unit.
- E. To understand that all planning must focus initially on the outcomes, or goals, to be achieved.
- F. To understand and be able to use the O-M-R model as a planning tool.
- G. To be able to tie individual goals to unit goals in an effective manner.

**III. Example of why this training is needed:**

Read the attached newspaper article, "Rebels Tricked Into Attack, Says Aquino," to the participants. Ask the participants if they can think of an example of anything similar from their own experience, of individual goals not being congruent with the unit goals, and the consequences of that.

**IV. Method:**

- A. Looking three years out
  - 1. Trainer presents lecturette on O-M-R model and how it applies to goal setting.
  - 2. Group discusses and agrees on the precise wording of its unit mission statement.
  - 3. Trainer tells the group to focus on outcomes three years from today and to answer the three lecturette questions.
  - 4. Trainer divides the group into 8-10 man working groups (platoon integrity can be maintained) to develop answers to the questions.
  - 5. Large group is reassembled to develop a group solution by consensus.
  - 6. A set of 5-8 goals is developed by the group. (If there are more, it may be because the group is identifying more specific objectives, rather than goals.

**B. Functional standardization**

- 1. Trainer leads discussion of functional standardization within the Army.
  - Who is joining whom
  - Internal vs external standards
  - Caring enough to do it right
  - Subunit's place in the bigger picture

2. Trainer leads discussion of standard setting and enforcing, from a systems perspective.
  3. Group determines what standards need to be developed and established (and for what purpose).
  4. Group reviews goals and standards.
- C. Tying individual goals to organizational goals
1. Trainer leads discussion on tying individual goals to organizational goals.
  2. Group reviews their own individual goals as developed in module 1 and compares them to the unit goals just developed.
  3. Implications are discussed for new soldiers who will arrive. Group determines required action to be taken to ensure tie-in is accomplished.
- D. Review
1. Trainer reviews goal setting.
  2. Group discusses implications for future action.

V. References:

- A. FM 22-102 "Soldier Team Development"
- B. FM 22-100 "Military Leadership"
- C. USAOECS ST 26-150-7 "Effective Planning"

VI. Attachments:

- A. Practical exercises--none required
- B. Handouts
- C. Lecturette
- D. Supplemental readings

EXAMPLE

INDIVIDUAL GOALS VS. UNIT GOALS

# 'Rebels' Tricked Into Attack, Says Aquino

## Honasan Accused of Telling Recruits Coup Try Was Army School Test

By Keith B. Richburg  
Washington Post Foreign Service

MANILA, Sept. 2—Philippine President Corazon Aquino told the nation tonight that many of the rebel soldiers who attacked her palace and took over the military headquarters building in a bloody coup attempt last Friday believed that they were on a training school mission and that they needed to participate to pass the course.

The coup leader, Col. Gregorio (Gringo) Honasan, was an instructor training recruits in techniques of counterinsurgency and uncon-

ventional warfare at Fort Mag-  
sasay in Nueva Ecija Province, on  
central Luzon island. Aquino said  
Honasan had told them that Fri-  
day's coup attempt was only a test.

"When we interviewed the cap-  
tives . . . , we found that the enlisted  
men had been told that they were on  
a test mission," Aquino said. "Some  
of these rebel soldiers even had note-  
books with them."

Aquino said some other rebel  
troops had been misled to believe  
that the presidential palace was un-  
der attack by the communist New  
People's Army.

"It is not the way of true leaders

to delude their followers," Aquino  
said. "The lies, the deceptions they  
perpetrated on their soldiers put to  
shame the noblest tradition of the  
Armed Forces."

Aquino's statements, in a nationally televised speech here tonight,  
were intended to "set the record  
straight." In her words. But her  
speech appeared to raise as many  
questions as it answered. It left un-  
clear, for example, why the rebel  
soldiers took so many lives—par-  
ticularly in a massacre of civilians  
outside her palace—if they thought  
that they were only being tested.

## LECTURETTE--UNIT GOAL SETTING

A GOAL can be defined as a general statement of an outcome to be achieved. Frequently, in the army, goals are presented as parts of the mission. Objectives refer to the specific targets which move us toward the goal.

A PLAN is a systematic approach used in accomplishing goals or objectives. Planning allows us to more systematically and effectively achieve our goals. Planning also develops morale within a unit as individuals learn what is expected of them and can see how their assignments and efforts fit into the larger goals of the unit. Planning also enables the needs of the individual to be integrated with the mission and goals of his organization.

### O-M-R MODEL

OUTCOMES  
METHODS  
RESOURCES

The Outcomes-Methods-Resources model provides one way of understanding the planning process. This model is a guideline which can help the planner visualize the planning process.

A fundamental principle of the O-M-R model is that we begin with the end in mind. Thus, we begin to plan by thinking about the final result, or the OUTCOME to be achieved.

Only after we have agreed on the outcome do we focus on how we will get there from where we are now, or what METHODS we will use to reach the desired outcome.

Finally, we look at the RESOURCE implications--what raw materials, personnel, and other resources are available or needed to carry out the plan in order to achieve our goal.

### PLANNING OUTCOMES

Three questions which help us to clarify and define the desired outcome for a given project are as follows:

1. What will happen if things go well?

--If things go well, the people involved will do what?  
Feel how?

--If things go well, what will be accomplished? When?  
To what standard?

2. What will happen if things go poorly?

--The critical point of listing these items is to make sure that plans include these possibilities and either arrange for alternative plans in the case of problems, or avoid them in the first place through diligent planning and care.

3. Who needs to be involved in setting the objectives?

--Three main groups of people may have information, skills, or responsibilities which should be included in the planning process:

A. Supervisors

What information from our supervisors can help us in our planning? Can he clarify or update mission requirements?

B. Peers

Do our peers have experience or ideas which might help us in setting goals and making plans?

C. Subordinates

Often the people on the bottom of the organization have different perspectives of problems than those on the top. The most effective leaders typically tap this source of needed information.

#### LEADER ROLE IN SETTING GOALS

Soldiers look to their leadership to establish goals for the unit. They want a positive direction that will challenge them and provide a chance for reaching their potential. The leader also has the responsibility to accomplish the mission and directives given to the team by the senior leader. He must attempt to show the soldiers of the team how their own goals and needs can be satisfied as a direct result of working toward team goals.

To do this, the leader needs to sit down with each soldier and find out what he expects from the team both personally and professionally. The leader must also get the same information from his boss. The team's goals must effectively integrate the goals of the organization and the needs of the individuals, to include the leader. If soldier and team expectations differ, this is the time to find out. If the soldier perceives that his needs are not important to the leader, the process of developing a cohesive team will seriously bog down and may never advance to more productive stages of development.

A personal discussion between the leader and the soldiers serves five important purposes:

--It establishes communication between the leaders and the members of the team.

--It lets the soldiers know what goals can realistically be achieved through membership as an active team member.

--It helps the leader know more about the soldiers and their needs.

--It establishes clear goals throughout the chain of command that are achievable and support the goals of the higher headquarters.

--It assures the soldiers that their individual thoughts and feelings are at least being considered by the team and its leadership.

Periodically, the leader needs to get the soldiers together as a team to check on progress. This allows them to share with others what their goals are. As they begin to understand that they share common goals for themselves and their unit, a cohesive team begins to develop. They will establish personal ownership of the unit goals. More and more, they will feel like a family and will think and act as one. This process is important before combat because it lays a foundation for teamwork that will be indispensable when the unit deploys.

#### SETTING EFFECTIVE GOALS

Research and experience with goal setting has established that goals are most effective when the following conditions are met:

1. Set high goals.
2. Set realistic, achievable goals.
3. Goals are mutually agreed upon.
4. Goals are specific and measureable.
5. Responsibility and accountability is fixed.  
(Who will do What by When?)
6. A feedback loop exists to report progress or problems.

#### References:

- FM 22-102 "Soldier Team Development" 2 March 1987.  
USAOECS ST 26-150-7 "Effective Planning" August 1980.

## GOAL SETTING LECTURE

### I. Why Set Goals?

Goal-directed behavior is more efficient and more effective than behavior which is completely spontaneous, unplanned and unorganized. The alternative to being goal-directed is to drift, to float, to achieve in a random manner. Establishing explicit goals has a great deal of utility. For one thing, planning the next step is much easier if goals are explicit. Having explicit goals also helps a person in developing a sense of accomplishment. Another benefit is that a person is far more likely to inventory the resources available to him and to utilize those resources if goals are clear.

### II. Establishing Team Goals.

The purpose of this lecture is to provide some criteria for judging or critiquing statements of team goals. Five criteria will be discussed. These five criteria taken together, constitute the ASCOM model. The five criteria are: (Slide 1)

#### 1. Achievable

A goal must have challenge, but it must be realistic. It is non-productive to build in a future failure by being unrealistic. "We are going to reduce turnover by 20% within the next 6 months" could be an unrealistic goal if the turnover rate has been historically high.

Team goals will become more achievable when the scope of a project is entirely within the purview of the team.

#### 2. Specific

General goals are less useful than specific ones because specific ones imply next steps or imply behaviors that need to be changed. An example of a non-specific goal would be to improve organizational performance over the next year. An example of a specific goal statement would be to improve ARTEP scores by 5% in the next year.

#### 3. Challenging

If a goal is easily attainable, it may be deemed not worth wasting time on. Or, it may be left to the last moment.

#### 4. Observable

This has to do with whether other people can see the results, whether it is obvious that the criterion has been met, or whether the results are covert. An example of non-observable is improved morale. A corresponding example would be reduced turnover. Turnover is a definite quantity that can be measured.

#### 5. Measurable

A goal should be stated in measurable terms. Example of non-measurable is "Let's improve morale." This goal is not easily achievable because it is difficult to measure. Reduce turnover by 20% within the next 6 months is an example of a measurable goal.

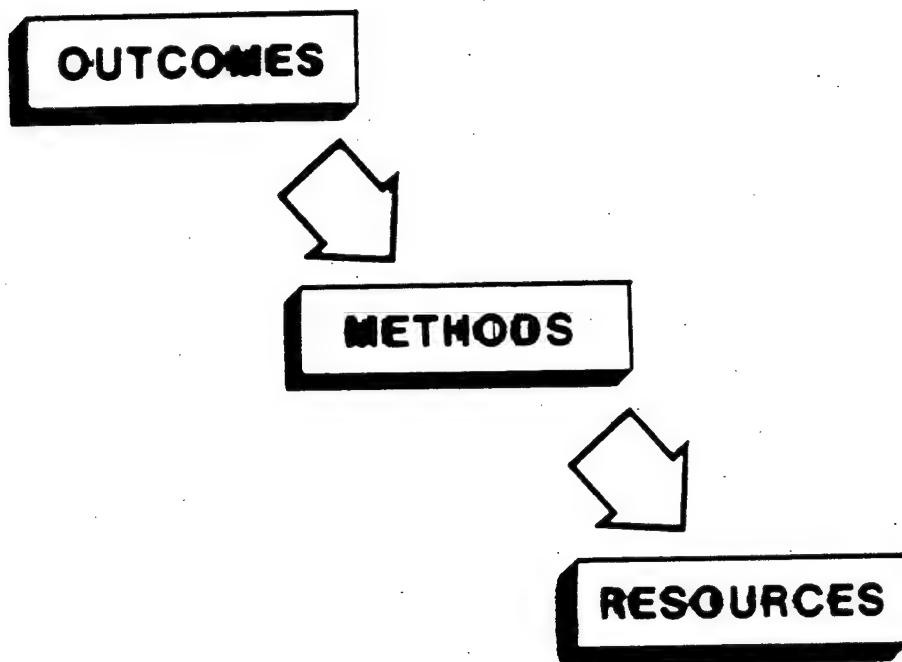
### ASCOM MODEL

- ACHIEVABLE
- SPECIFIC
- CHALLENGING
- OBSERVABLE
- MEASURABLE

Beetle Bailey—by Mort Walker



## O-M-R Model



### **3 QUESTIONS**

**BEFORE ESTABLISHING OUTCOMES, ASK YOURSELF:**

- 1. WHAT WILL HAPPEN IF THINGS GO WELL?**
- 2. WHAT WILL HAPPEN IF THINGS GO POORLY?**
- 3. WHO NEEDS TO BE INVOLVED IN SETTING THE GOALS/OBJECTIVES?**

**ACTION PLAN**

WHAT	WHO	RESOURCES	MILESTONES	STANDARD EXPECTATIONS	REMARKS

## **ASCOM MODEL**

- ACHIEVABLE
- SPECIFIC
- CHALLENGING
- OBSERVABLE
- MEASURABLE

## **Force Field Analysis**

**A**

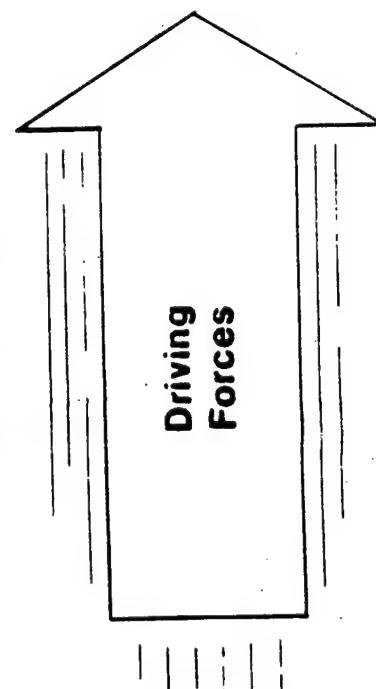
**Present State**

**Driving  
Forces**

**B**

**Desired State or  
Goal Outcome**

**Restraining  
Forces**



## INDIVIDUAL GOALS

(for tie-in with Module #1)

### 4D: LECTURETTE: SETTING GOALS AND DEVELOPING PLANS

Setting goals and making plans to achieve one's goals is perhaps the most important aspect of career development and personal achievement. When one considers future alternatives, and projects him/herself into the months and years ahead, it frees that one from the inertia of the past by providing future courses of action that serve as guides for planning and decision making.

Results from extensive research in this area clearly confirms the significance of goal setting for the achievement of one's goals. Commitment to clearly stated goals can lead one to the achievement of those goals. However, commitment to achieving one's goals is not as easy as it may appear.

Let's think for a moment about a description of goals that is workable. Goals are those things that we want to accomplish in our lives. And whether we are aware of it or not, all of us have goals we are working on. The difficulty some of us may have is that we have not specified exactly what goals we are seeking to attain. So we need to describe our goals in words that tell us what we want to accomplish, how we intend to accomplish it, what it will take to accomplish it, and how we will know when we have accomplished it.

Once we have established our goals, we will have direction and purpose in our lives. For they will act as a steering wheel in a car. It would be impossible to get from this classroom to our home if we were attempting to do so in a car without a steering wheel. In fact, we would probably never get there.

This same thing can happen to us in life - professionally and personally - if we do not have goals. As someone once said, "If you don't know where you are going, any road will get you there."

In addition to direction, goals also enable us to plan the wise use of our time. Those activities we have chosen as our goals should be the things most important to us. They should be activities of high importance. So, when we have a limited amount of time, or discover some "extra time," we can choose to work on some activity that will be leading us to our professional and personal goals.

Our next task is to work on life goals. We will begin with broad statements and then delete some items and finally end up working on one goal that is most important to us. Working through the complete development of one goal will provide you with skills and experience to continue developing other goals after the workshop.

## \*LIFEPLAN WORKSHEET

### STEP 1

In the space below, state as many lifetime goals as you can possibly visualize right now. Include in your list such categories as career objectives, personal relationships with family, friends and colleagues, organizational and professional groups, leisure activities, learning and educational activities, spiritual growth and religious activities, and material rewards and possessions. Make the list as general as you can by writing down as many goals and ideas that come into your mind. You will have five minutes to complete this portion of the exercise.

### STEP 2

Review the items you have listed for your lifetime goals and make any necessary changes to make certain that your list is as complete as possible. You will have an additional five minutes to do this. You may choose to add additional items on this page.

### STEP 3

Now, review all of the goals you have listed on the preceding two pages and place an asterisk (\*) in front of the ten (10) which seem most important to you and which you would like to accomplish in the next two (2) years. After you have selected the ten most important ones, prioritize them in the space below, according to their significance and importance to you right now. Be certain to look for balance and thoroughness in your goals -- i.e., professional/career goals, and personal goals.

\*Each step requires one sheet

## LIFEPLAN WORKSHEET

Most Important Goal:

Possible ways I can see to achieve my goal      Suggestions from others

Possible sources of assistance I can see      Suggestions from others

Possible resources it will take      Suggestions from others

Obstacles I may encounter      Obstacles others may see

What can I do about the obstacles      Suggestions from others

Specific things I will do to achieve my goal      Date:

I know I will have achieved my goal when...      Date:

## HOW DO YOU WANT YOUR UNIT TO FUNCTION?

HERE ARE NINE ORGANIZATIONAL PROCESSES FOR YOU TO CONSIDER:

### 1. COMMUNICATION

- A. There is adequacy of upward as well as downward communication.
- B. Superiors, peers and subordinates are receptive to ideas, concepts, suggestions, and opinions.
- C. Downward communication is timely, relevant, credible, and adequate.
- D. Communication channels are always open and organizational members are free to discuss and describe personal positions about issues and concerns without fear.
- E. There is ample communication between system elements and subunits.
- F. Rules, roles, relationships and responsibilities are clearly understood by all concerned.

### 2. GOAL SETTING

- A. Manner of establishing goals and developing plans with the degree of understanding and acceptance is clearly understood, widely accepted and agreed upon.
- B. Long range goals are clearly specified and described.
- C. The relationship of priorities to goals; short-range, intermediate, and long range, is well known, recognized and respected.

### 3. DECISION MAKING

- A. Input to decisions concerning policies, programs, and priorities comes from the proper source(s).
- B. Decisions are made based on timely, adequate, and reliable information.
- C. The decisions that are made are supportive of all systems/elements in the organization, and are made in the best interests of the organization.
- D. Decisions made concerning subordinates are specified in detail before decision is implemented or acted upon.

### 4. PROBLEM SOLVING

- A. Problems are solved when and where they occur.
- B. Members of the organization are encouraged to demonstrate their initiative and creativity in resolving matters in their specific domain.
- C. Organizational members at all levels work well together as a team to resolve their problems.
- D. Problems and problem solving are shared actively.

### 5. RESOURCE MANAGEMENT

- A. Money, equipment, space, time utilization of personnel and availability of spaces are managed with discretion.

B. Personal and professional skill development is recognized to be a contributing factor to organizational success.

6. DELEGATING

A. Accountability and responsibility are equal to performance expectations.

B. Priorities are established and time frames specified within reasonable limits.

7. SUPPORT

A. Members of the organization work together in support of the organizational members.

B. Morale and esprit are high and are evidenced in cooperative working relationships.

C. High standards of performance are encouraged and maintained by the members themselves.

D. All systems seem to be working together toward common objectives.

8. EVALUATION

A. Performance, individual and organizational, is measured against standards set in advance at regular, specified intervals.

9. CONFLICT MANAGEMENT

A. Conflict is viewed as normal, natural and neutral, and it is recognized as an opportunity to improve the organization.

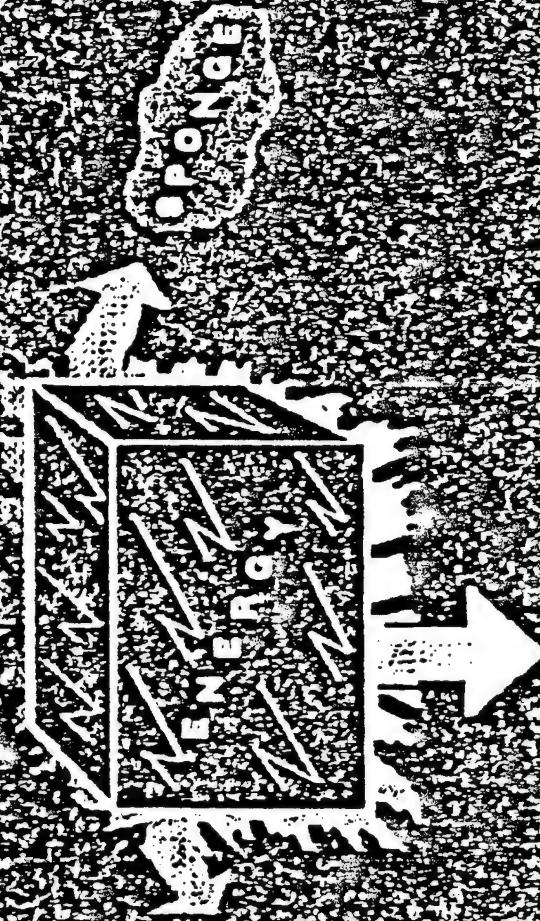
B. Conflict is not suppressed or avoided, but confronted at its locus and managed by those involved.

C. Factors and sources creating conflict are identified and recognized for their significance to and impact on the organization.

( Often leaders expend enormous amounts of energy putting out flash fires rather than identifying the process issues involved and seeking long-term solutions ).

OBSERVATION: Sometimes, a process issue is only a symptom of the real structural issue.

**ORGANIZATIONAL ENERGY**  
**AFFINITY & QUANTITY**



**RESPONSE**

**COMMITMENT**

SOME LESSONS LEARNED AND RE-LEARNED OVER THE YEARS:

1. THE PERFORMANCE OF SOLDIERS IS MOST INFLUENCED BY THE WAY THEY ARE LED.
2. COMMANDS FUNCTION MORE EFFECTIVELY WHEN INDIVIDUAL AND COMMAND GOALS ARE ALIGNED.
3. COMMITMENT TO GOALS REQUIRES MORE THAN JUST AN AGREEMENT WITH THOSE GOALS.
4. PEOPLE SUPPORT WHAT THEY HELP CREATE.
5. A COMMAND WILL FUNCTION MORE EFFECTIVELY WHEN CONFLICT IS DEALT WITH CONSTRUCTIVELY.
6. GROUPS OF INDIVIDUALS ARE THE BUILDING BLOCKS OF A COMMAND.
7. EFFECTIVE PLANNING AND PROBLEM SOLVING REQUIRES MUTUAL AND CLEAR UNDERSTANDING OF ORGANIZATIONAL REALITIES.

# **Executive Development Research Group**

## **Working Paper**

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**LDR 90**

**LEADER DEVELOPMENT COURSE**  
**"LEADERSHIP FOR THE 90'S" PROJECT**

**MODULE 6: ROLE IDENTIFICATION AND CLARIFICATION**  
**(MODULE 6 OF 10 MODULES)**

**Lawrence R. Boice and James T. Maguire**

**Army Research Institute**

**30 November 1987**

**Manpower and Personnel Research Laboratory**



**U. S. Army Research Institute  
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MODULE 6

## DAY 3

<u>TIME</u>	<u>EVENT</u>	<u>MATERIALS</u>	<u>TRAINER</u>
1300	Role Identification & Clarification		
	a. Company Structure Exercise PE 6.1	Chart paper & Markers	
	b. What is structure and what is a role?	Lecturette & Prepared Charts	
	c. Accountability & Authority Exercise: Role Definition	Prepared Charts	
	d. Review of the Module and preparation for Module 7	Lecturette on forms of Authority	

## COMPANY STRUCTURE EXERCISE

## GOALS

I. To introduce the notion that organizational structure is more than the boxes on a "wiring diagram" organizational chart or the force structure of an MTOE document.

II. To experience the variability in perceptions about the structure of the unit.

III. To develop awareness of the leaders' responsibilities in the design and maintenance of the unit structure.

## MATERIALS

Two pieces of chart paper and a marker for each student.  
Masking tape.

## GROUP SIZE

A maximum of 25 students.

## TIME REQUIRED

One hour and fifteen minutes.

## PHYSICAL SETTING

A room with enough wall space for each person to work at with the chart paper and markers.

## PROCESS

Each student picks up two pieces of chart paper, a marker pen and tape and moves to the wall and hangs the chart paper. The trainer instructs that they put their position title on the top of each sheet. They are then instructed to produce two drawings. The drawings are to be done in sequence, with work to be completed on drawing #1 before instructions are given on what to do in drawing #2. When work on both has been completed the trainers take the group of students and walk around the room and discuss the drawings, calling on the students for clarification and more information as necessary. The group then splits into three subgroups for further discussion.

## INSTRUCTIONS

DRAWING #1. Draw an organization chart of your unit as you understand it, labeling the positions on the chart. PLEASE DO NOT CONFER WITH EACH OTHER.

DRAWING #2 On the second sheet at the bottom, write your name, and rank. Arrange vertically by position, name and rank of those above you in the organization who are LIKELY to assign work or tasks to you.

TRAINER NOTICE: When drawing is complete take them through the following:

On your first drawing (organization chart)

- \* Beside the name of your rater put the letter "R"
- \* Put the letters "PC" beside the name(s) of those who are likely to counsel you on your performance
- \* Finally, circle the name of the one on your list who feels to you like your "real boss," the one who really is accountable for your performance

Compare the entries you have just made on your organization chart with what you have on your second drawing.

- \* Comment on the differences, similarities, meaning

## WHAT IS STRUCTURE AND WHAT IS A ROLE?

In the previous exercise, you drew a "wiring diagram" of the unit, an organization chart. The Army is full of just such drawings. It is assumed that by making up such a drawing that we have done something meaningful. Let's look at that assumption for a moment. What does the "wiring diagram" tell us about how work gets done in your unit. Does it tell us what the work of platoon sergeants is and how or if they work together? Does it tell us how their work relates to the work of the platoon leader, and squad leader? Take the fire-team leaders, they are one level removed from the platoon sergeant. Are we safe in concluding that the relationship between a platoon sergeant and fire-team leader is a distant one? How about among fire-team leaders in the same platoon, in different platoons, what is the nature of their working relationships. Since there are no lines connecting fire-team leaders across the platoon, can we assume that there are no meaningful working relationships? A typical wiring diagram tells us very little about how the pieces of the organization are related to each other, and how they go about getting the organization's work done.

Now, the wiring diagram you've just put together is far from being typical. It tells us much more than any wiring diagram hanging on any wall on this installation. To begin with it tells us who rates your performance. And who you think you are likely to receive performance counselling from. Finally, it tells us who it is that you feel is your "real boss." This may or may not be the same person that rates your performance. A hunch is that whoever you circled as your "real boss" is someone who you know can really add value to your work, i.e. someone who works at a level sufficiently higher than your own that they are operating in a larger context/higher frame of reference.

Just as a check, raise your hand if the person you circled as your "real boss" is also your rater. Now, setting rank considerations aside, if you feel that person is working at about the same level of work as you, put your hand down. (By same level of work I mean that if you had to do his work there would be little impact on the outcome. Small differences due to less practice or experience, but the work would get done well enough and on time.) Over the next two half days we'll explore some of these notions in greater detail. For now it's enough to say that the work of structuring an organization is much much more than arranging boxes on the page and then connecting them with a solid black line.

The work of structuring an organization is defining the working relationships among all members of the unit. This is far more information than can be contained in a single organization

chart. In fact, I would venture that a good deal of energy is spent by you trying to get just such relationships worked out as you go about getting your work done. Structure, then, is the total pattern of working relationships in the unit. It includes the positions or roles, the work contained in them, and most of all the authorities and responsibilities carried in each role. We have all had the experience of going to the supply room and being told that nothing will be issued today because the supply sergeant is: sick, TDY, conducting inventory, just "fed up" and grumpy, etc. And that it doesn't matter that training stops, there is no toilet paper, etc., etc.

When this happens you don't stop and say "Hey, we have a structural problem here having to do with our inability to define the appropriate authority of a supply sergeant." That's what it is. But at that point you're about to go ballistic and structure is not your first choice of words. And speaking of words, we in the Army just don't have the language yet that would let us talk through and resolve such things. We don't have definitions of the many forms of authority, and we certainly don't write job (role) descriptions that tell us who has what kind of authority in relation to what roles under what conditions. If we had them we wouldn't have to play the game of "I'll see you one Lieutenant, and raise you a Captain" in order to get our work done.

Finally, we are at the term "role." A role is a position in the organization which is defined in terms of the organizational responsibilities performed in it, and the minimum authorities necessary for the person occupying the role to be held accountable for his performance in accomplishing the work. Included in this definition are the relationships up, down and to the side which must be maintained in order to ensure the smooth functioning of the elements of the unit. One universal responsibility of every role is that the incumbent establish and maintain effective working relationships with other members of the unit. We'll be spending about six hours more on structure and roles, that's all we can squeeze into this course. It is hoped that after we're done here there will have developed some sense of the importance of working through structure and role issues beyond the confines of this course. And that some skill and language will have transferred as tools for this important work.

## ACCOUNTABILITY AND AUTHORITY EXERCISE

## GOALS

I. To develop awareness of how undefined accountability and authority cause conflict in organizations.

II. To develop knowledge of concepts and skills which will be useful in defining role responsibilities and authorities.

III. To produce core role descriptions which will form the basis for negotiating role relationships.

## MATERIALS

Chart paper, easels and markers for each "role working group."

## GROUP SIZE

A company chain-of-command, Commander through Fire-team Leader.

## TIME REQUIRED

One hour and thirty minutes.

## PHYSICAL SETTING

A room large enough to accommodate four working groups with space to ensure quiet uninterrupted work.

## PROCESS

Divide the chain-of-command members into groups as follows: (1) all fire-team leaders, (2) all squad leaders, (3) all platoon leaders and platoon sergeants, (4) Commander, First Sergeant, and Executive Officer (if any). (If other than a rifle company, modify group structure following the pattern of level of leadership) Assign each group a work area away from the other groups and with materials in place.

When the groups have settled into their work area, read the task and post the task on a chart in the front of the room.

**TASK:** Working with your group, (1) develop a group list of role responsibilities for which you feel accountable as an occupant of your position in the chain-of-command. (2) Prepare a five minute brief to give to the other groups.

Allow up to forty-five minutes for list making and briefing preparation. Keep track of the time and inform the working groups of the time remaining. The brief-back sequence is important, have them brief from fire-team leader up to command group. Our experience shows that everyone feels accountable for almost everything. The briefings do become quite heated quickly and the trainers need to keep the emotion contained without squelching their energy.

When all the briefings have been given, trainers lead a discussion of what has happened. Attention should be given to such issues as how to describe how accountability can be shaped so that all do not feel accountable for everything, ways to fix accountability in role definitions, means of resolving disputes, i.e. who decides. Be sure to save the groups' products since they are to be used in the next module.

## REVIEW OF MODULE 6 AND PREPARATION FOR MODULE 7

### REVIEW POINTS:

- \* Structure is more than an organization chart
- \* Structure is the total pattern of working relationships
  - \* Structure is a leadership responsibility
  - \* Role is more than a list of duties
- \* Role definitions should contain descriptions of authorities necessary to get the work done and the relationships that must be maintained
- \* If allowed to float, accountability will become a source of conflict in the unit

### THINGS TO THINK ABOUT BEFORE STARTING MODULE 7

- \* How do my responsibilities appear to be the same as those above/below me?
- \* They may appear to be the same, but are they really the same? What are the differences?
- \* How does the authority to get my work done differ from those above/below me on these similar responsibilities.
- \* What working relationships must I develop and maintain in order to be effective in my leadership position

# Executive Development Research Group

## Working Paper

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LDR 90

LEADER DEVELOPMENT COURSE  
"LEADERSHIP FOR THE 90'S" PROJECT

MODULE 7: ROLE RELATIONSHIPS  
(MODULE 7 OF 10 MODULES)

Lawrence R. Boice and James T. Maguire  
Army Research Institute

30 November 1987

Manpower and Personnel Research Laboratory



U. S. Army Research Institute  
for the Behavioral and Social Sciences  
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MODULE 7

## DAY 4

<u>TIME</u>	<u>EVENT</u>	<u>MATERIALS</u>	<u>TRAINER</u>
0800	a. Defining Working Role Relationships Workshop	Chart paper Markers Role Relationship Coding Sheets	
1030	Wrap-up Role Relationships/Break		
1100	b. Performance Counselling Exercise	Lecturette: Task Assignment, Accountability, & Performance Counseling Prepared Charts Case Study - Practice Role Play (Ref FM 22-100,101,102)	
1200	Lunch Break		

**NEGOTIATING ROLE RESPONSIBILITIES,  
AUTHORITIES AND WORKING RELATIONSHIPS**

**GOALS**

I. Develop a pattern of working among members of a company chain-of-command to effectively decide role responsibilities and authorities by level.

II. Introduce concepts of various forms of authority to aid members of a company chain-of-command to define roles in terms of the functional responsibilities and the authorities carried in these roles in relation to other roles.

**MATERIALS**

Newsprint roll, or chart paper, tape, markers. Forms of Authority Definition Sheet for each participant.

**GROUP SIZE**

All members of a company chain-of-command.

**TIME REQUIRED**

Two hours and thirty minutes.

**PHYSICAL SETTING**

Room large enough to accommodate the chain-of-command comfortably individually and in role groups. A diaz-like arrangement for the command group and trainers is set up ahead of time in the front of the room.

**PROCESS**

Fire-team leaders, squad leaders, and the platoon leader/sergeant groups from PE 6.2 reconvene in their work group area with their charts, and other output from the exercise. The command group chairs the negotiation session with the trainers as consultants to the participants. A large matrix has been hung in advance in the front of the room with all roles in the company, from Company Commander down to the Individual Soldier entered down the far left column. (A list appears in this exercise for a light infantry company.) Across the top are spaces for functional responsibilities to be entered. (A suggested but not exhaustive list is provided in this exercise.)

Each group decides a spokesman to represent them during negotiations. The groups are given 10 minutes to review their

materials and the handouts and to have trainer consultations. Three tasks must be worked on in sequence, with the trainers rigidly budgeting time across the three tasks. The object of the exercise is not to completely resolve roles, responsibilities, and authorities, but rather to become aware of the process by which issues of this nature can be negotiated and decided. Each task will be worked on in the role groups and a group position will be developed. The group representative will negotiate for the group with the other groups and the command group. The command group, with consultation from the trainers, will mediate, and, if necessary, arbitrate decisions.

TASK 1. Decide a group role definition and negotiate it with the other groups, recording the final decision.

TASK 2. Decide the authorities necessary for getting work done in relation to the functional responsibilities in the role. Negotiate these with the other groups and record decisions.

TASK 3. Decide the primary working relationships between your role and other roles as necessary and negotiate these with the other groups. Record decisions.

## SUGGESTED FUNCTIONAL RESPONSIBILITIES

1. Set Company Priorities
2. Conduct Collective Training
3. Conduct Individual Training
4. Individual Fitness
5. Remedial P.T.
6. Time Off
7. TA 50 Custody and Maintenance
8. Weapons Cleanliness
9. Weapons Maintenance
10. Personal Appearance
11. NBC Room
12. AHKIO Room
13. Arms Room
14. Supply Room
15. Vehicle Dispatching
16. MOS Proficiency
17. TO&E Equipment
18. Individual Equipment
19. Facilities Maintenance Monitoring
20. Continuing Education
21. Additional Duties
22. Reward/Discipline
23. Additional/Special Duty
25. Facilities Inspection
26. On-the-spot Correction
27. SUS-V Operations
28. Job Books
29. NBC Training
30. Squad Training
31. Personal Counselling
32. Performance Counselling
33. Refuse Unacceptable Subordinates
34. Assign Tasks
35. Assign Task Type
36. Evaluate Performance
37. Remove from Role
38. Assess Potential
39. Promote/Demote

## FORMS OF AUTHORITY

D = Decision authority, necessary authority to be accountable for performance. Decision authority assumes inclusion of other forms of authority.

C = Coordinative authority is the authority to speak for your boss on a specified task or project or area of assigned accountability to coordinate the work of peers. (Example- a LT XO coordinating the work of three LT platoon leaders on a special project and speaking for the CO on that project)

I = Inspecting authority is the authority to enter a supervisor's work situation and scrutinize the work employing qualitative standards; e.g...quality control, safety, etc. Inspection authority carries with it the authority to instruct the work to be stopped until further notice or delayed and the responsibility of making a report higher on the results of inspection.

M = Monitoring authority which is the authority to track progress of performance, compliance with policy etc. It does not carry with it the authority to stop or delay. It does carry with it the responsibility to report higher, access to the work site, information, etc.

A = Advisory authority is the authority to have access to a working supervisor, usually on the same organizational level, but in the case of technical experts access may be upwards, as well as laterally or downwards. This authority to have access is for the purpose of providing advice of an expert nature. In the case of advice given and not taken, the person exercising advisory authority must drop the issue and is prohibited from taking the matter further. An individual with either inspecting or monitoring authority may at his discretion employ advisory authority but must be clear that it is advisory and that no report higher will be made.

R = Recommending authority which is more than making suggestions in the sense of improvements to ways of doing things. The authority to make recommendation as a responsibility can be quite serious as in the case of performance appraisal. If, for example, an XO has a directed responsibility to make recommendations on the performance ratings of platoon leaders it ought to be known that that authority has been given. Such a situation is different from having authority to recommend types of training.

SERVICE GIVING/GETTING. This is a special case in which the responsibility is separated from the authority; i.e. service giver roles must provide services (have a responsibility to provide services) to service users authorized to get their service. Service givers are authorized to withhold services only to those explicitly not authorized to get their service. A parts clerk may not deny a part from an authorized user of the parts service. The part may not be available at that time but as soon as it is he must give it over.

S = Service providing which describes the role responsibility of providing a service to authorized users.

G = Service getting is the authority to be provided with a service on demand.

## PERFORMANCE COUNSELING

PERFORMANCE COUNSELING HAS TWO GOALS:

- (1) REINFORCES EFFECTIVE BEHAVIOR AND JOB PERFORMANCE
- (2) TO CHANGE UNACCEPTABLE BEHAVIOR AND/OR JOB PERFORMANCE

To accomplish this, some of the things that need to be done are for the supervisor to have his subordinate describe the subordinate's role as he sees it. Secondly, the supervisor would then describe the subordinate's role as the supervisor sees it. Once this is done then both the supervisor and subordinate have a clearer understanding of what the supervisor expects the subordinate to do on his job. These expectations must be in measurable form as outcomes or objectives: In order to be measurable the objectives must include the following:

1. What is to be done
2. By when
3. How well

Performance counseling should be done on a regular scheduled basis. Always make sure that you let your subordinate know what you see him doing that's effective on his job as well as those things that need to be changed.

**LIGHT INFANTRY COMPANY ROLES****Company Commander****Executive Officer****First Sergeant****Platoon Leader****Platoon Sergeant****Squad Leader****Fire-team Leader****NBC NCO****COMMO Sergeant****Supply Sergeant****Armorer****Individual Soldier**

## HELPFUL HINTS FOR "COUNSELORS"

The following are basic points to keep in mind when counseling individuals.

1. Counseling is a process of helpful communication, not a lecture. Be prepared to listen and become involved. Expect hostility, but know that it will subside if you are genuinely concerned.
2. The counselor's attitude must be one of unconditional acceptance. That is, acceptance of another person just as he is. One's own attitudes are the biggest block in helping others. It is very important to be courteous, patient, and willing to listen; do not be critical or disapproving.
3. Listen and observe all that the individual says and does. The individual, not the problem is the focus. Develop the art of being alert to and responding to the feeling which is being expressed--not the intellectual content.
4. Never raise false hopes or give false encouragements. Avoid saying things like "Cheer up" or "Everything's going to be OK soon". Real assurance occurs from the counselor's ability to convey the fact that he is interested in the problem and the individual and intends to try to help him.
5. Keep the focus upon the individual's problem(s). Don't get off on topics of interest to yourself no matter how instructive or informative they may be.
6. Eliminate your personal opinions from the discussion. Remember the objective is to have the individual develop his own feelings and initiative, not to mimic yours.
7. Clarify problem(s) or situation(s). It is helpful to restate the conflict or dilemma using the persons own words. This usually has the effect of further clarifying the problem(s) and may lead to a shared formulation of a plan to solve his problem.
8. Don't be an authority! That does not mean you can't be an authority figure; be prepared to listen and then offer several possible courses of action--then allow the individual the responsibility for a course of action.
9. Know thyself! Know your own limitations as well as your own strengths. Be honest with yourself. Face your own prejudices. Don't get discouraged.
10. Have the individual leave with a course of action. He came to you because of his inability to take action on his own. Help him find a course of action, allow him to make a choice and encourage him to accept the responsibility of that choice.

# Executive Development Research Group

## Working Paper

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LDR 90

LEADER DEVELOPMENT COURSE

"LEADERSHIP FOR THE 90'S" PROJECT

MODULE 8: PROBLEM SOLVING

(MODULE 8 OF 10 MODULES)

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## LDR90 TRAINING

## MODULE SEQUENCE

## MODULE 8

## DAY 4

TIME	EVENT	MATERIALS	TRAINER
1300	Problem solving cycle (model)	Lecturette Prepared chart 8.1	
1330	Problems to be solved	Handout (Challenges to be met)	
1600	Proposed solutions	Handouts --Management of Time --Replacement Assimilation	
1640	Review of module and intro to action planning		
1700	Announcements and dismissal		

MODULE 8

TIME: 4 hours

I. Title of Unit: PROBLEM SOLVING

II. Behavioral objectives:

- A. To understand and anticipate unique challenges of Unit manning and unit replacement systems.
- B. To learn and apply group problem solving skills and models.
- C. To learn how to develop group commitment to solutions and decisions.
- D. To be able to conduct personal counseling session in a work setting.
- E. To be able to recognize the conditions required to conduct effective personal counseling and the work situations which require or preclude it.

III. Examples of why this training is needed:

Squad Leader: "My soldiers are really down in the dumps over this old equipment. They are saying that it is worse than the stuff they had in OSUT. I think that they are feeling like they are getting crapped on now."

Fire Team Leader: "I overheard a couple of the troops in the latrine talking about how little we seem to care about them. They said that the whole squad was feeling the same thing, and I'm beginning to worry. You got any ideas? Maybe it is even a problem throughout the platoon or company!"

Platoon Sergeant: "Hey, LT. I'm not sure I realized how many of our new soldiers got married right after OSUT. How in the world are we going to make sure these guys become productive members of our platoon and still keep things straight at home? Do you think we need to include the wives in any of our planning? Does that do anything for this cohesion stuff we keep talking about?"

IV. Method:

- A. Trainers present lecturette on the problem solving cycle. (15 minutes)
- B. Trainer divides the group into 8-10 man working groups. The participants brainstorm challenges to be faced, as the first step in the problem solving cycle. (The outcomes identified during Unit Goal Setting module are good starting points for identifying problems or challenges to be met). (30 minutes)
- C. Each group selects two identified problems to be worked on. These are worded as questions. (How can we...?)
- D. Groups brainstorm alternative solutions, to include gathering information, developing courses of action, and analyzing courses of action. (20 min)

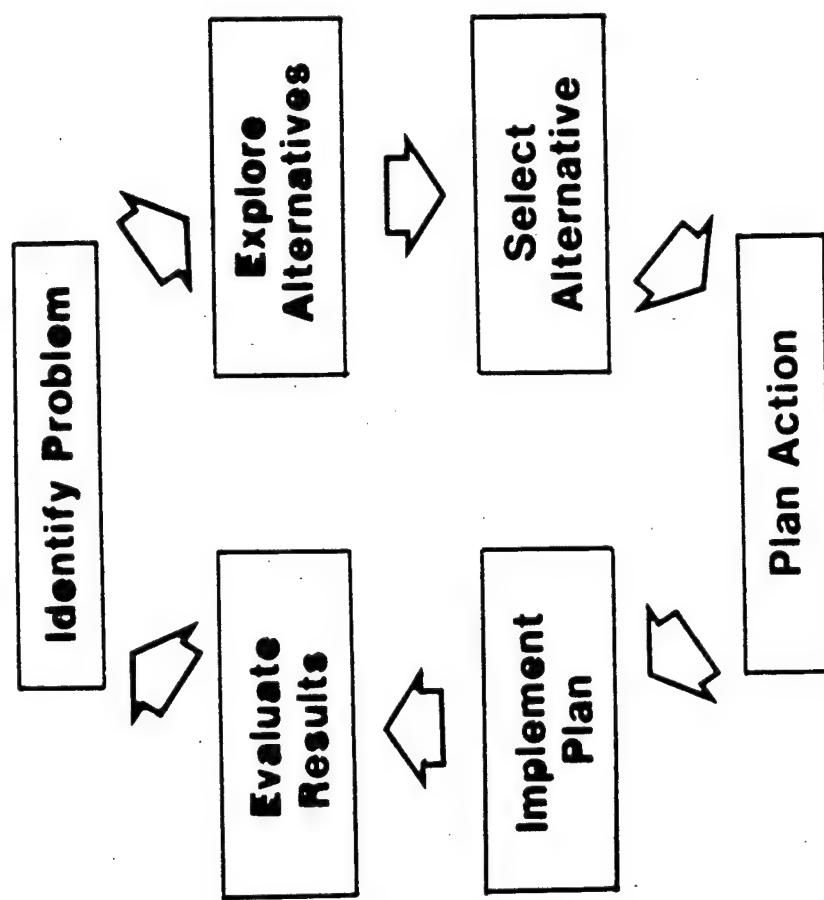
- E. Trainers then rotate half the members of each group, and continue exploring alternative solutions.  
(20 minutes)
- F. Half of the members are rotated again, so that all participants have worked on at least four of the six problems. (20 minutes)
- G. Participants re-form as a large group. Alternative solutions are selected for each of the six problems. If time permits, action planning begins. If not, development of action plans will begin in the next module. (1 hour)
- H. Personal counseling is covered as a special approach to problem solving. SEE SUBMODULE 8-H. (1 hour)
  - A. Trainer presents lecturette on personal counseling.
  - B. Participants are formed into threes; one is the soldier with a problem, one is the counsellor, and one is the observer. All rotate roles until they have done all three.
  - C. The large group is formed again to discuss the experiences with personal counseling.
- I. Trainers conduct a review of the module. (15 min)

V. References:

- A. FM 22-101 "Leadership Counseling"
- B. FM 22-100 "Military Leadership"
- C. Creative Problem Solving (several sources)

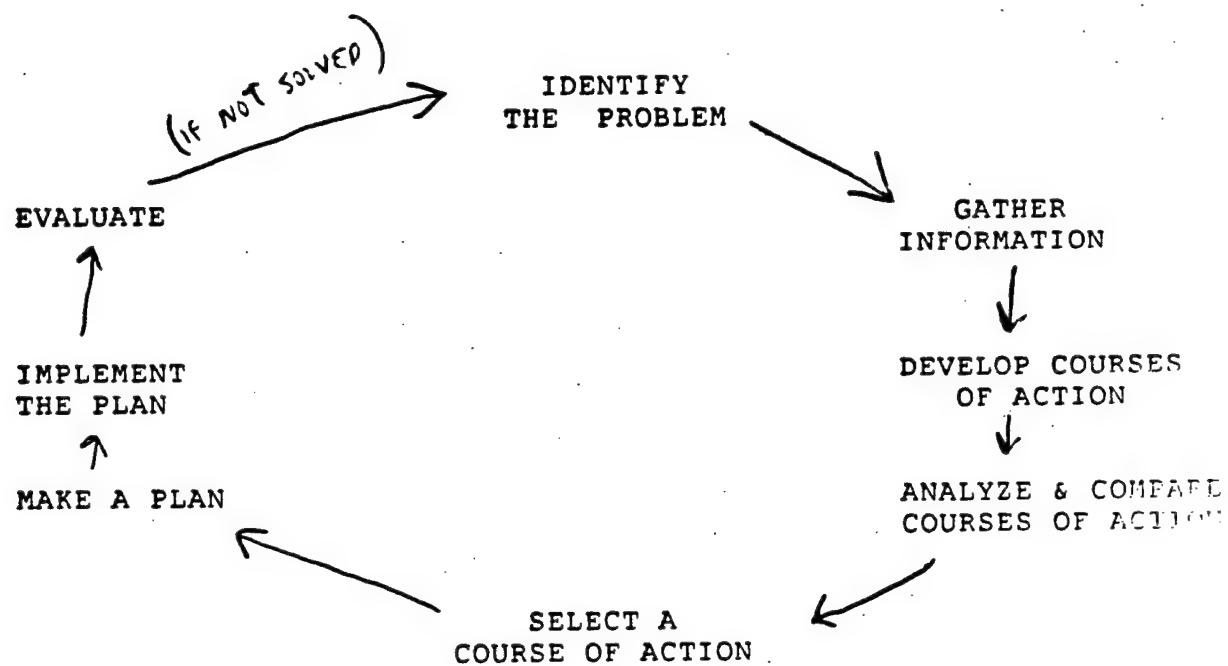
VI. Attachments:

- A. Practical exercises--included above
- B. Handouts
- C. Lecturette
- D. Supplemental Readings



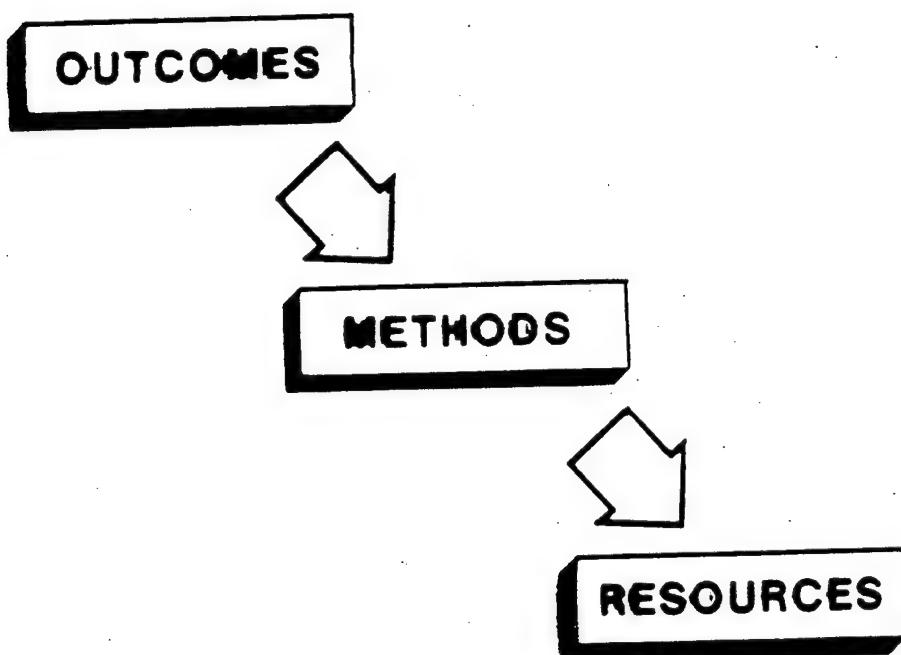
SLIDE 8-1

PROBLEM SOLVING CYCLE



SOURCE: FM 22-100

## O-M-R Model



## **Force Field Analysis**

**A**

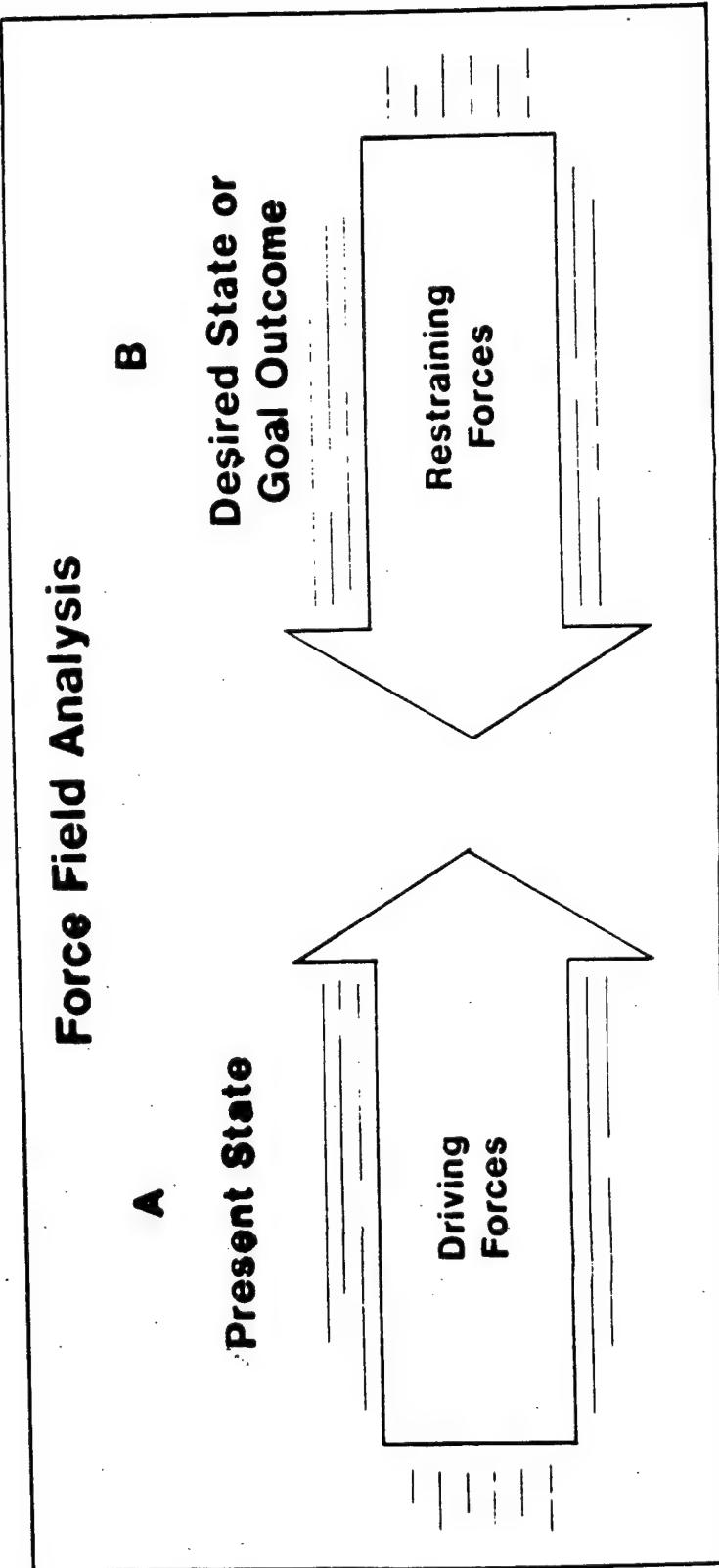
**Present State**

**Driving  
Forces**

**B**

**Desired State or  
Goal Outcome**

**Restraining  
Forces**

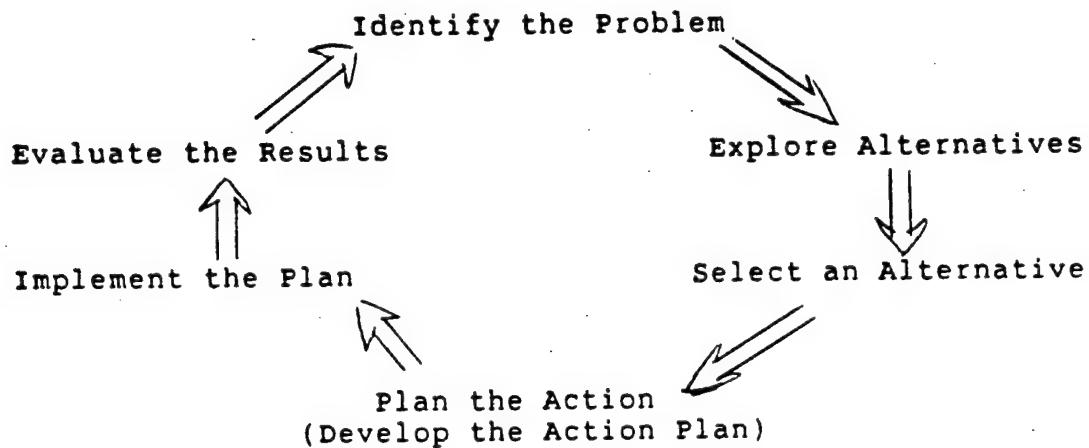


**ACTION PLAN**

WHAT	WHO	RESOURCES	MILESTONES	STANDARD/ EXPECTATIONS	REMARKS

## LECTURETTE--PROBLEM SOLVING

Often people confuse Planning and Problem-Solving. Planning is only part of the overall problem-solving cycle. The steps in the problem solving cycle include:



Problem identification and definition is the first and most critical step. Most people want to rush this step, but they often end up either solving the wrong problem or spending time later going back and defining the "real" problem after working on the wrong issue initially. A helpful technique is to generate a list of facts bearing on the problem, by identifying what "is" and what "is not" affected within the scope of the problem. "Brainstorming" is a useful technique for a group to use for this process.

To develop alternatives, it is necessary to use your creativity. To start the brainstorming of alternatives, the following approaches to a problem may assist you in turning on your creative thinking.

- A. Modify
- B. Minify
- C. Substitute
- D. Rearrange
- E. Combine

The object of this list is to help you look at your problem in new ways. Don't get locked into using this list. Use your creativity to develop your own.

To determine the best possible solution from the list of alternatives that have been generated, you need to develop a list of criteria that must be met by the approach to be selected. Make a list of what "must be" met and what you would "like to be" met. Then use these criteria to shorten the list of alternative approaches until you can agree on one to be selected.

Consideration of resource constraints may also help rule out some alternatives.

Objectives often require several actions. The action plan identifies the action to be taken, the individual responsible for the action, the resources to be allocated to the action, when the action is to be completed, and the standard or expected results. In effect, it lays out the route that must be followed to insure the accomplishment of the objective. It also enables the problem solver to identify additional potential problems. Objectives are broken into a series of steps required to reach each objective. The organization of these action steps is the action plan. An action plan will consist of WHAT will be done, WHO is responsible, by WHEN it is to be done, as well as the resources allocated, and the results and standards expected.

In developing the action plan, the force field analysis is a useful technique. It allows the team to analyze the forces involved in implementing a solution. Each force having positive or negative impact on the implementation must be identified. Actions are then planned to maximize the positive forces and to minimize the negative forces.(See slide on force field analysis).

A good solution and action plan are meaningless without effective implementation. Effective implementation requires an open feedback system that provides timely and accurate information, a periodic review of the applicability of the solution based on the current situation, and the flexibility to adjust the plan as the situation changes. As the action plan is implemented, information should continue to be collected and provided to those responsible for the action steps. Coordination between responsible individuals should be encouraged, and an update on progress should be provided at team meetings.

The team should also be aware of changes in the environment that may alter the status of the action plan. Sometimes priorities will change and require adjustments in the plan. Flexibility is the key to a changing situation. Good teams shift their efforts by revising their plan as events dictate. The most important thing about implementation is to be constantly aware of input relevant to the plan and to be flexible enough to change it when need be.

Evaluation is not the last step. It must be considered from the start and throughout the problem-solving cycle. It begins with the question "How will we know that we have solved the problem?"

SUBMODULE 8-H: PERSONAL COUNSELING--SPECIAL CHALLENGES

Time: 1 hour

Sequence:

1. Trainer presents a definition of personal counseling (on newsprint) and leads discussion of what personal counseling means and does not mean.
2. Trainer present lecturette.
3. Trainers conduct a personal counseling session in order to demonstrate.
4. Group discusses and critiques the session.
5. The group is broken down into threes. One person will talk about a problem (a real one), one person will be the active listener and counselor, and the third person will be the process observer. After 10 minutes, the roles are rotated, until all have been talkers, listeners, and observers.
6. Return to large group and discuss the experiences and the "lessons learned."
7. Trainer recaps the training.

Reference: FM 22-101 Leadership Counseling

## LECTURETTE--PERSONAL COUNSELING

The goal of personal counseling is to help a person develop an understanding of himself, his feelings, his actions, and his goals, and to use that information to change his behavior and/or to resolve his difficulties.

There are three basic functions of nondirective personal counseling:

1. To allow a person to ventilate his emotions and feelings and thereby reduce tension.
2. To help a person put the problem into a context of reality.
3. To enable a person to better decide among his options.

The setting for personal counseling should be private and comfortable for the individual, and you should do what you can to put the person at ease, to include getting out from behind your desk. Try to put yourself in the other person's shoes, to see it as he does. Remember that this problem is important to him whether or not you feel it would be important to you. Your job is to be a good listener, not a problem solver. The person talking to you is his own best problem solver if he has an effective active listener (you) to listen to him.

Remember the conditions for effective counseling:

1. Environment: physical conditions which are conducive, with comfort, no interruptions, privacy and adequate time.
2. Psychological contact: openness and empathy.
3. Clarification of counselor role: listener, not the problem-solver.
4. Mutual respect.
5. Clarity of problem ownership.

## NON-DIRECTIVE PERSONAL COUNSELING

THERE ARE THREE BASIC FUNCTIONS:

- (1) TO ALLOW A PERSON TO VENTILATE HIS EMOTIONS AND FEELINGS AND THEREBY REDUCE TENSION.
- (2) TO HELP A PERSON PUT THE PROBLEM INTO A CONTEXT OF REALITY.
- (3) TO ENABLE A PERSON TO BETTER DECIDE AMONG HIS OPTIONS.

The setting for personal counseling should be private, comfortable for the individual, you should do what you can to put the person at ease (get out from behind your desk!).

Try to put yourself in the other person's shoes, try to see it their way and above all else remember that this problem is important to him whether you feel it would be important to you or not. Your job is to be a good listener, not a problem-solver. The client is his own best problem-solver if he has an effective active-listener (you) to listen to him.

Additional Reference: Leadership Counseling FM 22-101, Jun 74.

## DO'S AND DON'TS OF NON-DIRECTIVE PERSONAL COUNSELING

### DO:

1. LET THE PERSON MAKE HIS OWN DECISIONS.
2. OFFER SOME TENTATIVE ALTERNATIVES "IF NEEDED."

If the person does not know what options he has, the counselor may offer at least two or more alternatives to stimulate a brainstorming process. This would be followed by evaluation of the advantages and/or disadvantages of each alternative.

### 3. FOLLOW-UP.

Check back with the person after a reasonable period of time to see how he is taking care of his problems. Check to see if he has run into difficulties solving his problems. Let him know that you are still concerned about his problems.

### DON'T:

1. DON'T TELL A PERSON WHAT TO DO.

By offering the Solution, if that solution turns out to be wrong, a person will often times turn around and blame you because he has followed your solution to the problem.

2. DON'T SOLVE THE PROBLEM.

In this case if you solve a person's problem he may frequently come back to you to solve more of his problem.

3. DON'T TAKE RESPONSIBILITY.

It's his problem - he has to live with the consequences.

4. DON'T GIVE ADVICE, "QUALIFIED"

Recognize when someone brings a problem to you, that you are definitely not qualified to assist on, you may refer him to any number of helping agencies specifically set up and designed to assist people with specific problems. Some of these agencies being Chaplains, Army Community Service Center, Legal Assistance, American Red Cross, etc. If there is a case where you are not sure where to refer a man, one agency is set up to get a person started in the right direction and that agency is the Army Community Service Center.

## PROBLEMS TO BE SOLVED

### A SYSTEMS MODEL

The K&R model provides a simple way to look at some of the interrelated subsystems within any organization. As part of problem identification, it might be useful to discuss each subsystem and to brainstorm a list of problems to be solved or challenges to be met within each of the subsystems.

Commander/Chain of command

Mission

Technology

Personnel

Structure

Environment

Here are some challenges to be met. How many of these did you identify already?

#### 1. The transition problem

Soldiers come out of OSUT with a set of expectations, which may or may not be reasonable, and which may or may not get met in their new unit. There are challenges to be met just in the logistics of getting relocated.

#### 2. The expectation problem

Soldiers in OSUT have a set of expectations. Some will be met and some will not. What are the expectations? How do you match those expectations against reality? How do you ensure that the soldiers get a realistic job preview?

#### 3. The drill sergeant problem

Soldiers in OSUT become attached to their drill sergeants. How do you break that bond as part of the transition process. How do you allow them to "let go" in a responsible manner?

#### 4. The new environment problem

Alaska is a tough environment. It is a different type of community than most new soldiers are used to. The climate is harsh, and the off-duty recreation is different. How do you help soldiers adjust?

#### 5. The family problem

Many of the new soldiers are newly married. How do you make it easier for them to meet their new responsibilities both as unit members and as family members? How do you keep family members from feeling excluded by the cohesive unit?

#### 6. The caring leader problem

Soldiers often perceive that their leaders do not care about them. How do you demonstrate caring so that the soldiers know that you are sincere?

#### 7. The training problem

Soldiers coming out of OSUT have demonstrated their proficiency as individual soldiers, but not as unit members. How do you train them in the required unit skills?

#### 8. The replacement problem

How do you maintain cohesion in spite of gains and losses to your unit? How do you replace losses, and how do you assimilate new soldiers?

#### 9. The standards problem

How do you set and enforce standards? How do you establish functional standardization, so that different standards do not exist in different subunits?

#### 10. The mission problem

How do you ensure that new soldiers know the unit mission and that they fully understand the implications to them?

#### 11. The equipment problem

How do you prevent demoralization among soldiers who find that they have worse equipment as unit members than they had as trainees? Also, how do you ensure that they make the best use of their special equipment in Alaska?

12. The dynamic subordinate problem

How do you ensure that soldiers are properly rewarded for behaving as dynamic subordinates? How do you ensure that the desired behaviors are encouraged and sustained?

13. The time management problem

How do you ensure that soldier time is treated as a valued resource and not wasted? How do you accomplish all that needs to be accomplished by everyone? How do you sustain performance without suffering individual and unit "burnout"?

14. The conflict problem

How do you ensure that conflicts are managed responsibly at all levels of interpersonal interaction? How do you keep "pinches" from becoming "crunches" in your unit?

15. The larger unit problem

How do you ensure that a "bond" develops between the cohort unit and its higher headquarters, at Bn level, at Bde level, and at Division level? How do you answer the question of "Who is joining whom"?

## REPLACEMENT ASSIMILATION AND INTEGRATION

## OVERALL CONCEPT

## MASTER SCHEDULE

1. The acceptance and integration of package replacements requires five steps:

## GREET - MEET - INTEGRATE INTO UNIT - TRAIN - CERTIFY

These steps must occur as specified. For that reason, the steps are laid out below in some detail. The chain of command, and particularly the company commander, must monitor progress to ensure that the steps are working. In most cases, a company SOP which assigns a milestone schedule and responsibilities for "what by when" will materially aid in producing a successful outcome.

2. GREET. This is the initial contact on arrival. It must include face-to-face meeting with the chain of command from company commander through fire team leader. Face-to-face greeting is an essential first step in caring leadership.

3. MEET. This is a series of early meetings in which each member of the chain of command "gets to know" each replacement, and becomes known to him. Essential elements of information include the replacement's full name, marital status, dependents status, plan for caring for dependents, geographical area of origin, near and mid-term personal goals, and personal development plans to include objectives to be served through Army enlistment.

4. INTEGRATE. This is a series of steps taken by the chain of command to ensure that replacements become integral parts of their units. In highly cohesive units, current members may take a "we-they" attitude about new members. In combat or under extreme environmental conditions, this can result in early loss of new members. All current members, to include the chain of command, are responsible for the most rapid possible assimilation and integration of newcomers. This is accomplished through informal contact and conversation, particularly between newcomers and the chain of command.

5. TRAIN. This is providing specific training to increase knowledge, skills, and abilities so replacements will have the job knowledge to be accepted as equals. SOP for specific steps to ensure this happens may be required. Considerations are the following.

a. Replacements should not be treated either preferentially or prejudicially. They should be assigned tasks by their chain of command leaders as other soldiers are, and should function as a part of a total team including other soldiers as well.

b. The chain of command (platoon sergeant/squad leader) must define what is acceptable level of performance on specific tasks.

c. The chain of command (but primarily squad leaders) is responsible for ensuring that replacements receive any training necessary to gain the skills required for acceptable mission performance, before mission performance is

required. Training must be on a learn this by when basis. Soldiers in training must be given a training task, practiced, evaluated, and practiced again until performance reaches an acceptable level. Trainers must act as coaches, not drills or graders.

d. The chain of command must share information on how training is going in the view of both the replacements and old unit members. The training philosophy must be to help rapid progress occur, not to punish slow progress.

6. CERTIFY. This is a rite of passage which marks full acceptance of replacements into the unit. It signifies that they are willing to take full responsibility for effective mission performance, and are trusted by old members equally as they trust themselves. All old members, to include the chain of command, must now fully accept the replacements as "insiders" and show by their actions that the "insider" status is real. As examples, a public ceremony must occur which indicates that replacements have the skills to be accepted as full unit members, and all unit members must now address one another in the same way, e.g., peers will use first names, chain of command will address replacements using first names, and replacements will address chain of command in the same manner as old unit members do. It is essential that these changes occur immediately and fully as soon as certification occurs. Chain of command and old unit members may need coaching from one another to ensure that this happens.

REPLACEMENT ASSIMILATION AND INTEGRATION  
ACTION SCHEDULE, TIMETABLE, AND RESPONSIBILITIES  
MASTER SCHEDULE

WHAT	BY WHEN	WHO
Develop replacement allocation plan that cross-levels, creating space for packet replacement, keeping packets together. (Requires SOP.)	Replacement arrival	Company Commander First Sergeant
Greet replacements individually.	First or second day	Company commander First Sergeant Platoon Leader Platoon Sergeant Squad Leader
Introduce new replacements in formation	First available day	First Sergeant
Assign sponsor.	Third day	Platoon Sergeant
Collect essential information (EEI) on each replacement, individually.	End of first week	Squad Leader Platoon Sergeant
Discuss sponsor assistance and adjustment to platoon/local area	End of first week	Platoon Sergeant
Discuss expectations, standards and SOPs	End of first week	Platoon Sergeant
Collect and maintain in master file EEI on each new platoon member.	Second week	Platoon Leader
Review progress of replacements with entire squad	At least once each week	Squad Leader
Talk with each replacement about progress	At least once each week, first four weeks	Platoon Leader First Sergeant
Talk informally with each replacement, about progress, other than in company commander's office or orderly room.	At least once each week, first four weeks	Company Commander
Eat with replacements (Requires SOP.)	At least once each week, first four weeks	Company chain of command

Meet spouse.	End of third week	Platoon Sergeant
Certify with Rite of Passage (If progress warrants)	About end of eighth week	Company Commander

## HANDOUT: THE MANAGEMENT OF TIME

### I. INTRODUCTION:

Have you ever used any of these statements? --"Don't bother me with that -- I just don't have time for it."  
"Where does he think I'm going to find time to do that?"  
"Here we go again -- one more job to do, but no time to do it."  
"If only I had enough time, I could really do a good job on this."  
"I can't seem to find enough time to do what I have to do and what I want to do."  
"If I had just a few more hours a day, I might be able to spend some time with my family."  
"I wish I had more time to study for that advancement exam."

You've probably used one or two of those phrases during the past few months. . . in fact some of us may have used all of them in the past week.

All these protests and frustrations revolve around one central issue --TIME. Time is that thing that keeps happening, but we don't seem able to control it in anyway. After all, we can't stop time, or slow it down, or speed it up. It just keeps ticking. So what do we do about it? Give up? Just keep griping and mumbling? No . . . we can learn to control it.

### II. CONTROL YOUR TIME

a. Alan Lakein is a management consultant who specializes in helping people manage their time more effectively. His thesis is that as you learn to control your time, you will come to control your life. His book is titled, How to Get Control of Your Time and Your Life. Most of us would like to feel that we have some control of our time.

b. But why should we be concerned about our time? What's so important about it? Why is it so special? Because it is the scarcest resource we have available to us. Think about that. Time is the scarcest resource available to us. Why?

Because time is totally inelastic . . . it is irreversible . . . it is irreplaceable. You may waste your money resources, but there is more money to be obtained by working for it. People resources can be wasted by your not using them correctly, or they quit, but there are more people in the world to help you get your job done. But once you've wasted time, you'll never get it back. While money and people may seem scarce occasionally, neither of them is in as short supply as time.

Another reason for a concern . . . there is no substitute for time. Whereas a computer may act as a substitute for people, nothing can substitute for time.

Now we also have to be very realistic about this issue. There are some priorities which require certain decisions regarding who you are going to give some of your time to. In other words, even though you might prefer to give up eight hours a day to play golf, the priority of vocation calls for you to give up those eight hours to the Army. But how you use those eight hours then becomes a new and challenging problem. How do I get the most out of the time that I have decided to give to the Army? Do I just muddle along? Do I just react to crises, and sit around and wait for them to happen? Do I get involved in little things that someone else should really be doing? Am I learning anything? Am I accomplishing anything? Do I feel like I'm living up to my real potential, or am I just marking time? So you can see that even though you may have given up a certain amount of your time to the Army, you can do more with that time if you decide that you can exert some control over it. How do you do it?

e. You must learn to establish priorities -- this is nothing new. You do it every day. You decide to talk to the men in your unit rather than do requested paperwork. You decide to go to the exchange rather than read a new regulation. You decide golf on Saturday rather than mow the lawn. You decide to go jogging during your lunch hour rather than eat those calories. You do it all the time. Any time there is a choice of things to do, you set a priority when you make a decision about which alternative you select.

So you're really already adept and skilled at setting priorities. But, very few people are skilled at setting priorities well. Let's face it--some of our decisions about how we use our time are really ridiculous, especially when we look back on them.

f. How do you set priorities NOW? -- It's important for you to get a handle on this issue. The more you become aware of how you're setting priorities now, the more you'll be able to decide whether that's the way you want to continue to set them. Your choices for the way you spend your time will depend on your priorities. If you decide that your priority should be "promotion" because of the extra money, recognition, and leadership opportunities, then spending time on professional reading or skill-building will take priority over other activities.

Some of your priorities will be set by other people. For instance, if your commander gives you a specific task to accomplish by 1600, your priority system will suddenly reflect this new input--that doesn't mean that your system is permanently paralyzed. It merely means that a new priority has been placed at the top of your system, but only temporarily. On the other hand, priorities are based on goals. And if your goal is to be an outstanding officer, an officer who always does his best, then the new task fits your priorities quite well. That is, although you have a task that will require your time, you can meet your goal and priority by doing a good job on the task assigned to you.

## TIME SAVERS

- Keep a list of specific items to be done each day; arrange them in priority order.
- Concentrate on one thing at a time.
- Work on your Things to Do list without skipping over difficult items.
- Plan the first thing in the morning; set priorities for the day.
- Write shorter letters and memos.
- Wastebasketry; throw away things you really don't need.
- Committee of two, avoid involving unnecessary people in the decision-making process.
- Correspondence; handle it only once; don't put it back on the pile.
- Correspondence; fast answers; write response right on the letter.
- Put signs in your office to remind you of your goals.
- Review/Revise your goals once a month.
- Ask yourself, "Would anything terrible happen if I didn't do this priority item?" If the answer is negative, don't do it.
- When you are procrastinating, ask yourself what you are avoiding.
- Do your thinking on paper.
- Set deadlines for yourself and for others.
- Don't waste other people's time.
- Listen actively in every discussion.
- Use form letters or standard paragraphs whenever possible.
- Decide what it is you want to do with your time.
- Set up a plan to get from what you are doing to what you want to do.
- Ask; ask questions; see if someone else has the answer already; don't reinvent the wheel.
- Closure; know when to stop a task; don't overdo it.
- Don't do it; never do today what can be put off until tomorrow.
- Meetings; have a purpose, have a time limit, ask only necessary individuals to participate.
- Generate as little paperwork as possible.
- Throw away everything you possibly can.
- Delegate everything you possibly can.
- Assumptions; examine your assumptions about self, others, the job, family, leisure.
- Busywork; get rid of it; it's not how much you're doing that's important, but how much you get done.
- Decision-making; a clear statement of the problem is 50% of the solution.
- Calendars; keep yearly, monthly, weekly, and daily calendars.
- Fill up your calendar; your calendar should reflect your goals.
- Diagrams; use simple charts or diagrams to communicate ideas rather than long, drawn-out papers.
- Easy things first; in order to get started, start on an easy thing, but make sure the hard ones get done.
- Environment; make sure your "work space" is so arranged to allow you to work.
- Set aside time to concentrate on high priority items.
- Keep your desk-top cleared for action; put the most important thing in the center of your desk.
- Relax and do nothing rather frequently.

## TIME WASTERS

Inefficiency	Snap decisions
Indecision	Blaming others
Tension	Doing urgent rather than important things
Environment	No systematic approach
office layout	Confused responsibilities
communication procedures	Failure to motivate others
desk-top	Lack of coordination
Meetings	Waiting for decisions
Telephone	Lack of standards
Incoming mail (messages)	Lack of procedures
Handling repeatedly	Overcontrol
Poor distribution	Overcommunication
Casual visitors	Lack of purpose
Overconcern with efficiency	Failure to learn from experience
Misplaced items	Lack of schedule
Unanticipated interruptions	Failure to follow-up
Commuting	Poor timing
Waiting for people	Poor instructions
Failure to delegate	Poor habits
Lack of preparation	Shuffling papers
Poor organization	Firefighting
Unnecessary correspondence	Failure to have alternate plans
Coffee breaks	Undefined goals
Procrastination	Too much secrecy
Too <u>much</u> time	Lunch
Lack of priorities	Leadership by crisis
Mistakes	Attempting too much at once
Unrealistic time estimates	Failure to listen
Doing everything yourself	Unable to say "NO"
Trying to involve everyone	
Delegating responsibility without authority	
Bypassing the chain of command	

Additional Time Wasters (Think of some of your own):

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.

- Increases involvement and participation
- Gets most ideas in shortest time
- Reduces the need to give the "right" answer
- Frees group (Fun, interesting)
- Reduces possibilities of negative thinking

SLIDE

GROUND RULES FOR BRAINSTORMING

--GENERATE QUANTITY, NOT QUALITY  
(More is better)

--FREEWHEELING IS ENCOURAGED  
(The wilder, the better)

--PIGGYBACKING AND HITCH HIKING ARE ENCOURAGED  
(Combine or modify previous ideas)

--NO EVALUATION OR JUDGEMENT IS MADE  
(Will take place later)

--RECORD ALL IDEAS  
(Write it all down)

SLIDE

SIX STEPS IN BRAINSTORMING

- 1. IDENTIFY TOPIC**
- 2. STATE GROUND RULES**
- 3. BRAINSTORM IDEAS**
- 4. CLARIFY AND EXPLAIN**
- 5. IDENTIFY MOST IMPORTANT IDEAS**  
(voting, 1/3 plus 1)
- 6. PRIORITIZE IDEAS**  
(Consensus or voting, 1/3 plus 1)

**Soldier Team  
Development**

# SOLDIER TEAM DEVELOPMENT

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## APPENDIX C

### One Soldier's View of His COHORT Unit

#### PROLOGUE

The people I work with . . . we all knew we were going into a COHORT unit . . . and we knew that the people we would be living, working, and sleeping with during the difficult conditions at basic training were the people we would be with for the next three years. That started cementing our relationships right away. Basic training is stressful, and because everybody pays for one person's mistake, we got real close. Very close. And that carried us through just about everything we did. We all really wanted to do well and do well as a unit. We had a lot of heart-to-heart talks at night. We were always trying to help each other. We were like family . . . a special relationship that I haven't shared with anyone else.

Because of our experience in basic training, we expected that our new leaders would be able to do everything better than we could. And we were expecting a lot of charisma.

#### THE MEETING ENGAGEMENT . . . CULTURE SHOCK

When we got to Fort Ord, we were very much looking forward to getting on with the job that we had joined to do. We met our NCOs for the first time. It was one group meeting another, and it was pretty much "us-them." They had none of the shared experience we had, and of course we already knew each other. We knew nothing about "them." But we could look at ourselves, especially within platoons, and we could tell you everything about each guy . . . hometown, mother's maiden name, problems, strengths, and weaknesses.

But these new squad leaders, platoon sergeants, and platoon leaders made us uncomfortable . . . because of their rank. In those days, we held rank in awe. Now, we understand it. Our unit leaders weren't out of the same mold as

4. External controls of the unit's operations will be viewed at best as irrelevant, and at worst, as impediments of performance.
5. Efforts to dictate particular kinds and qualities of output will tend to depress motivation and "rhythm."
6. The criteria used by soldiers to seek relief from stress/pressure will be determined by unit members themselves.
7. A "private" language and set of symbols will arise—jargon—jive.
8. Soldiers will develop a set of unit-specific indicators of performance, expressed in the "private" language.

9. Hours and intensity of work will be determined far more by the imperatives of unit operations than by higher headquarters.
10. A set of explicit values about what the unit does and why will arise.
11. Replies to outsiders about how and why the unit operates as it does will tend to be answered by trite generalities, or by showing.

If the unit you are observing exhibits a majority of these characteristics, you may assume that it is a high-performing unit on that day and in that place.

our drill sergeants and officers at Fort Benning. They were much older than we were accustomed to, and less charismatic. We had come from a place with very high standards, and we pushed ourselves real hard. We wouldn't accept anything less than perfection from our leaders.

That may have been unrealistic. No one sat us down and explained that our leaders were going to be human.

At first, they didn't want to relate to us on a soldier-to-soldier basis . . . and that's how we were working . . . Sometimes, we'd catch them in contradictions . . . and that doesn't breed trust. They were little contradictions . . . some thing as small as a standard not being adhered to by all . . . like relaxed standards for officers and NCOs. Or, the mindless series of changes that seem to be standard in our Army. It takes twenty changes to get something accomplished. To a young soldier, that kind of contradiction and indecisiveness translates to incompetence, whether actual or perceived. They had to keep coming back and talking to us . . . information had to start flowing in both directions.

And here in our unit, the pace of life is much less hurried, less structured. It was like culture shock when we got here . . . a completely different environment. We were given very high standards to meet . . . barracks maintenance, personal appearance, decorum . . . all these things that help build discipline. But that's not what we were looking for . . . not then . . . we wanted sincere caring, because that is what we felt for each other. They only cared about the mission . . . we cared about the mission and each other.

We wanted to learn a lot, and do a lot. We had a lot of misperceptions about what our battalion was going to be like. We had been told a lot of things. A lot of times, authority figures have to bear the effects of those rumors. We heard all kinds of things, and the leaders picked up a lot of the psychological blame and some undeserved mistrust because of that. Plus, they were already outside our group.

The first time it became apparent that some of our standards and their standards weren't the same was our first PT run. We ran our NCOs into the dirt. We thought that if that was the way it was going to be, it was going to be easy. At the time we were looking at them and saying

to ourselves that the NCOs couldn't do what we were doing. So, they were loaning our respect during the very time they were trying to build us. Lack of self-confidence causes lack of candor.

It wasn't lack of competency . . . it was a lack of physical ability. There's a difference. Their knowledge and skills were at least as good as ours, if not superior. In fact they were miles above us. But, on a physical level, which is the standard we had equated everything to up to that point, we were stronger. Everyone we had followed up to that point physically did everything we did . . . and did it better. The first thing we found when we got here was a flaw. They couldn't beat us physically, and yet they were trying to lead us.

And "they" also found out that mass punishment doesn't work on a COHORT unit . . . the troops just turn off to the leaders.

So in the initial months, the gap between the COHORT soldiers and the leaders didn't begin to close. It got bigger.

Then our leaders began to challenge us, once they had found out what our level was. That was the best thing they could have done. And they got help . . . from an unexpected source.

### THINGS GOT WORSE BEFORE THEY GOT BETTER

After we had been here for about six months, things had changed . . . we were no longer two distinct groups . . . our unit was actually three separate groups . . . our soldiers, the NCOs and officers, and the newly promoted corporals selected from our ranks. We were effectively functioning, but as a result of soldiers' pride and the fact that we are duty bound. We joined the Army realizing that we have a duty to our country and that everything we do is mission-oriented. And we try to accomplish every mission, regardless of the complaining and moaning. But, it still took a long time for the gap to begin to close.

The newly promoted NCOs had the worst job you could ever hand to a man in his life. Most did remarkably well . . . the others are coming along. They will all turn out to be good NCOs. They had it really tough, and that's when

things were really at their worst. We had morale problems, but we kept it in the ranks . . . we've got our pride. We wouldn't let our frustration out and adversely affect our unit.

The gap will never close . . . not because of anything that has or has not happened. Officers are officers, NCOs are NCOs, and troops are troops. You can join them all together, but you can never turn them all into one great big group.

### BRIDGING THE GAP

The young corporals . . . the ones our leaders had made from nothing . . . were the catalyst to bonding us together. Though they were pretty much just like us, they began to go out and look for more to know. They went to schools and started reading on their own. They started asking questions of our leaders and getting together to work with each other. They were getting a lot of pressure from the ranks and from above. They were catching it from all sides.

But they weren't going to hand those stripes back. No way.

From the very start, the new corporals were welcomed into the NCO fold and treated every bit as an NCO, not an "acting jack." Steps were taken to ensure that their role was separate and well defined. That took some very far sighted thinking by the old man.

Then there was the competition among themselves . . . not to be a dud, especially as a corporal. They became like a fraternity and relied on each other. They had the support and commitment of the senior NCOs too.

They started earning our respect when they knew their job and ours, too. They began to learn how to lead. Our senior leaders were teaching them daily how to be leaders . . . about leadership characteristics and attributes . . . and they backed the corporals. If we screwed with a corporal, we got it with both barrels from the senior leaders.

So, our resistance to the young leaders dropped as they exceeded our standards for competency, applied those competencies, and began to lead by example. When the corporals got confidence in themselves, we got confidence in them, too.

And today we have shared enough experiences with our senior leaders . . . enough that we have learned their strengths and weaknesses and can fit them into our group.

Now, we have confidence in them, too. They are more candid with us today. Once our confidence in them developed as a result of demonstrated competence, candor developed. If we listened to them, nine out of ten times we come off looking good. They know the right way to train and do things.

We discovered that they were competent, and we began to accept them and to listen to them. In about the eighth or tenth month, we began to think of them as our leaders, because they had committed themselves to us.

No, the gap will never close. But it's been bridged. The three groups have disappeared. That's why we're as effective as we are today.

### TODAY

Our concern has become "Let's get this thing done and not get anyone hurt." We won't quit. When everyone else depends on each other, performance rises way above what you thought you could do. Now, we'll do anything for each other . . . not for God or country . . . but for the guys that we have shared experiences with . . . troops and leaders alike.

Our leaders have learned to balance mission and soldiers. Some didn't like it at first. The young NCOs have helped create that because they had a lot in common with the troops and now they have a lot in common with the senior leaders. All the leaders understand that if we are going to accomplish our mission, us soldiers have got to be there.

Candor is 100 percent. The young leaders can talk to the old leaders and be heard. We can be heard.

The leaders were encircled and accepted into our group. They've come around to our way of thinking. We're beginning to realize some of the potential in COHORT soldiers.

# Executive Development Research Group

## Working Paper

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LDR 90

LEADER DEVELOPMENT COURSE

"LEADERSHIP FOR THE 90'S" PROJECT

MODULE 9: ACTION PLANNING

(MODULE 9 OF 10 MODULES)

Lawrence R. Boice and James T. Maguire

Army Research Institute

30 November 1987

**Manpower and Personnel Research Laboratory**



**U. S. Army Research Institute  
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MODULE 9

DAY 5

<u>TIME</u>	<u>EVENT</u>	<u>MATERIALS</u>	<u>TRAINER</u>
0800	Action Planning and Problem Solving  Breaks taken as determined in work group	Chart Paper Markers Tape Problem Task Sheets	
1200	Lunch Break		

## ACTION PLANNING AND PROBLEM SOLVING

## GOALS

- I. Work through group problem solving and action planning on a real or potential unit problem.
- II. Practice using group members varied experiences, skills, and knowledges as a resource pool.
- III. Explore ways of developing unit ownership of plans.

## GROUP SIZE

Up to twenty-five split into work teams of seven or eight.

## TIME REQUIRED

Four hours.

## PHYSICAL SETTING

Room large enough to split into three work groups each with sufficient distance from the other to minimize noise, and intrusions.

## PROCESS

Divide the group into three work teams of about 7-8 persons each. This may be done by rank grouping around appropriate level or type of problem to be solved, or mixed ranks may be employed. Each group is assigned a trainer to act as the process consultant to the group. Each group will have 2 1/2 hours to analyze their problem, decide a solution, and action plan for the implementation of that solution. At the end of the 2 1/2 hours each group will present their problem, analysis, and action plan to the other groups encouraging comment and modification where appropriate to build ownership of the total unit chain. This is a real work session and the group may not be fully completed with the understanding that their work will be incorporated into any follow-on work that needs to be done.

PROBLEM SHEET 1.

PROBLEM. One of the pluses of a cohort unit is that its members stay together and skill loss due to turnover is reduced. This means that the annual training cycle familiar in other kinds of units does not fit. Cohort soldiers don't want to do the same thing three times in their three year tour with the unit. Since they will be together for three years, training can be deeper and without that constant rush to get to ready state. They are ready, so the problem is also one of sustaining that edge of readiness. Develop a plan for training that takes these and any other important factors about your cohort unit into account.

PROBLEM SHEET 2.

PROBLEM. Even in a cohort unit there will be replacements. In this course you have seen some of the problems that can occur when a "newby" tries to link up with an existing group. These problems can be especially hard in a cohort unit. Analyze this problem and come up with a plan for a company program for bringing people on-board in the unit so that cohesion is kept high and new people are up to speed quickly and comfortably.

PROBLEM SHEET 3.

PROBLEM. Fairbanks, Alaska can really get to people who have not been as isolated as it is here. Time off can be a lonely time or a time for trouble without much to do. Soldiers can be kept busy and at work some of the time. But what about families? Three years with half of that time in the dark or near dark can get to you. What kind of support can the unit give to help under these conditions. What do you do when you think someone has a problem, or someone at home has a problem. Analyze your situation, and develop ways to deal with some of the problems that might arise simply because you are in Alaska.

# **Executive Development Research Group**

## **Working Paper**

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LDR 90

LEADER DEVELOPMENT COURSE

"LEADERSHIP FOR THE 90'S" PROJECT

MODULE 10: AFTER ACTION REVIEW AND COURSE CRITIQUE  
(MODULE 10 OF 10 MODULES)

Lawrence R. Boice and James T. Maguire.

Army Research Institute

30 November 1987

**Manpower and Personnel Research Laboratory**



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## MODULE 10

## DAY 5

TIME	EVENT	MATERIALS	TRAINER
1300	Review unit goals and action plan	Unit chart work	
1330	Discuss O-M-R model with feedback loop	Prepared chart (from module 5)	
1345	After-action reviews of tactical training	Prepared chart 10.1 Lecturette	
1415	Course review, module by module	Course goals Course outline	
1500	Conduct course after-action review and course critique	Course evaluation sheets Chart paper and markers	
1615	Turn in evaluation sheets		
1630	Graduation ceremony, awarding of diplomas	Prepared certificates	
1700	Closure and dismissal (Unit keeps all charts and course materials)		

MODULE 10

TIME: 4 hours

I. Title of Unit: GOALS REVISITED/ COURSE REVIEW AND CRITIQUE

II. Behavioral objectives:

- A. To ensure that unit goals are understood and agreed upon.
- B. To demonstrate use of O-M-R model as a planning tool, to include use of feedback loop.
- C. To confirm understanding of all course content and its relevance and immediate applicability.
- D. To self-critique the performance of the group.
- E. To critique the conduct of the course and the performance of the trainers.
- F. To demonstrate ability to conduct an after action review of small unit training as a team, and to generalize that ability in terms of future tactical training.

III. Example of why this training is needed:

Platoon Leader: "These after action reviews of our platoon tactical training are a joke. I end up doing all of the talking. No matter how many times I beat these guys over the head, they still make the same mistakes the next time. I guess I need to start getting tougher with them. Then maybe they will improve. Or maybe I need to relieve a squad leader or two as an example for the rest of the platoon. I tell them what their mistakes are. Why don't they just listen and then fix what I tell them to fix?"

IV. Method:

- A. Review goals established by the unit.
- B. Discuss O-M-R model, in terms of feedback loop.
- C. Present lecturette on after action reviews.
- D. Review course material, module by module.
- E. Conduct after action review and critique of course, to include filling out end-of-course questionnaire.

V. References:

- A. FM 25-4 "How to Conduct Training Exercises"  
(Appendix G: Postexercise Activities)
- B. ARI Research Product 86-32 "After Action Review (AAR) Guide for the Army Training Battle Simulation System (ARTBASS)"
- C. ARI Research Product 83-11 "After Action Review Guidebook I: National Training Center."

VI. Attachments:

- A. Practical exercises--none included
- B. Handouts
- C. Lecturette
- D. Supplemental readings

## LECTURETTE--AFTER ACTION REVIEWS

An effective AAR has the following characteristics:

1. Training objectives are reviewed.
2. The unit's discussion is directed to the critical events, reasons why these occurred, and how the unit could have done better.
3. The chain of events is traced so that the results of mistakes are understood by participants. One mistake is often a partial cause of another.
4. Critical events are clearly related to training objectives.
5. Attention of participants is held and they are involved in the discussion.
6. The summary is clear and concise.

Conducting the AAR requires six steps:

1. Choose the AAR leader
2. Select site and assemble participants
3. State training objectives
4. Lead discussion
5. Summarize
6. Get feedback from command group for exercise improvement

### References:

- ARI Research Product 86-32. "After Action Review (AAR) Guide for the Army Training Battle Simulation System (ARTBASS)", October 1986.
- ARI Research Product 83-11. "After Action Review Guidebook I: National Training Center", 1982.
- FM 25-4 "How To Conduct Training Exercises", 1984.

1. TRAINING OBJECTIVES ARE REVIEWED
2. DISCUSSION IS DIRECTED TO THE CRITICAL EVENTS
3. CHAIN OF EVENTS IS TRACED SO RESULTS ARE UNDERSTOOD
4. CRITICAL EVENTS ARE CLEARLY RELATED TO TRAINING OBJECTIVES
5. PARTICIPANTS ARE INVOLVED IN DISCUSSION, ATTENTION IS HELD
6. SUMMARY IS CLEAR AND CONCISE

## LDR 90 COURSE EVALUATION

Instructions: Please answer the following questions as completely, honestly, and specifically as possible.

1. Will you recommend the course to others? Why or why not?

2. Were the goals of the course met? Please comment.

3. Please evaluate the major portions of the course in terms of effectiveness as you see it: (Circle the appropriate point on the continuum).

1 totally ineffective	2	3 don't know (absent)	4 effective	5 very effective
Self Knowledge			1 2 3 4 5	
Communication Skills			1 2 3 4 5	
Team Development			1 2 3 4 5	
Leadership Behavior			1 2 3 4 5	
Unit Goal Setting			1 2 3 4 5	
Role Clarification			1 2 3 4 5	
Role Relationships			1 2 3 4 5	
Problem Solving			1 2 3 4 5	
Action Planning			1 2 3 4 5	
After Action Review and Critique			1 2 3 4 5	

4. Please write a short statement recommending ways to improve the course. (Use back of sheet if more space is needed).

Name \_\_\_\_\_ Rank \_\_\_\_\_ Unit \_\_\_\_\_

COURSE GOALS--LDR 90 POI

1. TO LEARN THE PROCESS OF DEVELOPING AND SUSTAINING A COHESIVE WORK GROUP.
2. TO LEARN SPECIFIC SKILLS WHICH ENABLE SMALL UNIT LEADERS TO BECOME MORE EFFECTIVE WORK TEAM MEMBERS.
3. TO LEARN APPROPRIATE APPLICATION OF LEADERSHIP SKILLS IN VARYING SITUATIONS.
4. TO UNDERSTAND THE ROLE OF SMALL COMBAT UNITS AS SUBSYSTEMS OF LARGER ORGANIZATIONS.

## LEADER 90 COURSE OUTLINE

### CONCEPT AND OVERVIEW:

10 MODULES, 4 HOURS PER MODULE, TOTAL 40 HOURS  
STRUCTURED EXPERIENTIAL LEARNING  
SEQUENTIAL AND PROGRESSIVE SKILL BUILDING  
TIES IN WITH BOTH BTMS AND LIGHT LEADERS COURSE  
COURSE GOALS

### MOD 1: LEADER SELF-KNOWLEDGE

INTRO EXERCISE--INDIV GOALS/ PETER-PAUL  
COURSE OVERVIEW  
COURSE GOALS  
EXPECTATIONS  
GUIDELINES  
BANK ACCOUNT ANALOGY  
CHALLENGE ASSUMPTIONS  
SELF-AWARENESS (MBTI)  
VALUES--STATED VS OPERATING (PERSONAL PHILOSOPHY)

NOTE: SOME OF THIS MATERIAL IS READ-AHEAD

### MOD 2: COMMUNICATE WITH OTHERS

RUMOR CLINIC PE (CHAIN OF COMMAND ADAPTATION)  
COMMUNICATION SKILLS  
    CONGRUENCE AND VERIFICATION  
    ACTIVE LISTENING  
    RESPONSIBLE EFFECTIVE FEEDBACK  
    "I" MESSAGES  
CONFLICT MANAGEMENT  
OBSERVATION SKILLS

### MOD 3: TEAM BUILDING (SOLDIER TEAM DEVELOPMENT)

HOLLOW SQUARES EXERCISE  
TIE IN WITH FM22-102: SOLDIER TEAM DEVELOPMENT  
INCLUSION EXERCISE  
GROUP DEVELOPMENT STAGES  
FUNCTIONAL ROLES IN GROUPS  
GROUP NORMS AND VALUES  
BONDING PROCESS (3 STAGES)

### MOD 4: LEADERSHIP/FOLLOWERSHIP

GROUP-CENTERED LEADERSHIP

GROUP NORMS AND VALUES (REVISITED)  
DYNAMIC SUBORDINACY  
COMPETITION--COLLABORATION  
FIGURE 14--SUBORDINATE FEEDBACK (TIE IN WITH AAR)  
PE--TINKER TOY EXERCISE  
OBSERVATION SKILLS  
MEETING MANAGEMENT--TIME AS A RESOURCE

MOD 5: UNIT GOAL SETTING

WHAT HAPPENS IN 3 YEARS?  
HOW MANY CO CDRS, 4 YEAR ENLISTEES, ETC.?  
SETTING AND ENFORCING STANDARDS  
CARING ENOUGH TO DO IT RIGHT  
WHO IS JOINING WHOM (INTERNAL VS EXTERNAL STANDARDS)  
SYSTEMS VIEW AGAIN (SUBUNIT'S PLACE IN BIG PICTURE)  
FUNCTIONAL STANDARDIZATION

MOD 6: ROLE CLARIFICATION (BY POSITION)

ORGANIZATION DESIGN  
USE AS DESIGNED  
DOCTRINAL REFERENT POINT (UNIT SORTS OUT--MISSION)  
DISCRETION BY LEVEL  
VETO POWER--RIGHT OF REFUSAL (WHO SELECTS CH OF CMD?)  
PERFORMANCE COUNSELLING AND ACCOUNTABILITY  
FORCING DIFFERENTIATION--CROSS TRAINING  
NEXT-IN-COMMAND ARTEP (BEYOND COMFORT ZONE)

MOD 7: ROLE RELATIONSHIPS

EFFECTIVE WORK ROLES AND RELATIONSHIPS  
(CONTINUE PREVIOUS GROUP WORK)

MOD 8: PROBLEM SOLVING

COHESION RESEARCH DATA  
MENU  
SOLVE THE EXPECTATION PROBLEM  
ANTICIPATE THE TRANSITION PROBLEMS  
(SOLDIERS HAVE EXPECTATIONS AND EXPECT STANDARDS)  
TAKING ADVANTAGE OF THE UNIQUENESS OF COHORT  
ENERGY IS FINITE--STABLE UNIT CAN SPEND ON OTHER STUFF  
PERSONAL COUNSELING--SPECIAL CHALLENGES  
ENGINEERING GROUP BEHAVIORS  
REPLACEMENTS ISSUES--LOSES ISSUES--PROMOTIONS ISSUES

MOD 9: ACTION PLANNING AND PROBLEM SOLVING

USING THE GROUP AS A RESOURCE  
DEVELOPING OWNERSHIP OF PLANS  
"PACING" OF TRAINING--SUSTAINMENT  
REPLACEMENT ASSIMILATION--PEACETIME/WARTIME--SAME?

MOD 10: GOALS REVISITED/REVIEW AND CRITIQUE

AFTER ACTION REVIEW OF TACTICAL TRAINING IS MODELED  
GROUP CRITIQUES ITSELF AS WELL AS THE COURSE  
GROUP PLANS FOR ACTIONS BEYOND CLASSROOM

# Executive Development Research Group

## Working Paper 88-01

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LEADER DEVELOPMENT COURSE  
"LEADERSHIP FOR THE 90's" PROJECT  
TRAINER'S GUIDE

Major Lawrence R. Boice and Mr. James T. Maguire

November 1987

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#### ACKNOWLEDGEMENTS

Several individuals, representing various Army organizations, contributed significantly to the development of these course materials. The members of the original training team, all of whom were directly involved in both the development and the delivery of the training program are as follows: MAJ(P) Lawrence R. Boice and Mr. James T. Maguire, Army Research Institute; MAJ Ross D. Nida and MAJ David A. Hoopengardner, U.S. Forces Command; MAJ(P) Richard T. Keene, Center for Army Leadership; and MAJ(P) Ron C. Sims, HQ 6th Infantry Division (Light). Other individuals who contributed significantly during the development of the training materials are LTC(P) Larry H. Ingraham and LTC Robert J. Schneider, Walter Reed Army Institute of Research. Reviewers who contributed through comments during the development process include Dr. T.O. Jacobs, ARI, and Dr. David H. Marlowe, WRAIR.

The training team and the researchers involved with the project wish also to thank the members of 5th Battalion, 9th Infantry Regiment for participating in the first "Leadership for the 90's" training program and demonstrating the utility of the project.

L. R. Boice  
J. T. Maguire  
30 November 1987

## LDR 90: TIPS FOR TRAINERS

1. The intended target audience is the intact work group at small unit level. The emphasis is on teaching small unit chain of command members how to develop and sustain effective soldier teams. The training is applicable to all military units; it is not specifically targeted to COHORT units only.
2. At least two trainers are required for a group of 10-15 participants. An additional trainer should be used for each additional 8-10 participants. If there are to be more than 30 participants, the unit should be divided into sub-groups and more than one classroom should be used.
3. The training materials provided require direct application of the adult learning model. Participants will be led through a structured experience, caused to reflect on what happened, and encouraged to generalize to future experiences beyond the classroom. The emphasis is on skill training and demonstrated proficiency of work group skills.
4. Two themes that run throughout the modules are:
  - A. Assimilation of replacements is an ongoing process.
  - B. After action reviews require full group participation.
5. Trainers must be able to model all desired skills.
6. Participant group must remain intact throughout the training experience. Absence and turbulence dilute the training for the entire group.
7. Natural occurring phenomena can be used to advantage in discussing and "modelling" group behaviors. Contrived classroom situations can be minimized.
8. Focus on the unit's real business. The entire course is job-relevant. Use the unit's energy and its mission to advantage.
9. The modules are sequential and progressive.
10. Review each module as a mini after-action review.
11. Chain of command involvement is crucial.
12. Leader training is useless if out of context. (Policy and practices above the level of the participant group are relevant).
13. Small unit integrity and leader stability is a state of mind. Train leaders to focus on managing inevitable transition points.
14. Use each module as an opportunity to reinforce previous modules, as implied by #8. Exploit opportunities to discuss events in the context of what has transpired earlier.

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10 MODULES, 4 HOURS PER MODULE, TOTAL 40 HOURS  
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SEQUENTIAL AND PROGRESSIVE SKILL BUILDING  
TIES IN WITH BOTH BTMS AND LIGHT LEADERS COURSE  
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COURSE GOALS  
EXPECTATIONS  
GUIDELINES  
BANK ACCOUNT ANALOGY  
CHALLENGE ASSUMPTIONS  
SELF-AWARENESS (MBTI)  
VALUES--STATED VS OPERATING (PERSONAL PHILOSOPHY)

NOTE: SOME OF THIS MATERIAL IS READ-AHEAD

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COMMUNICATION SKILLS  
CONGRUENCE AND VERIFICATION  
ACTIVE LISTENING  
RESPONSIBLE EFFECTIVE FEEDBACK  
"I" MESSAGES  
CONFLICT MANAGEMENT  
OBSERVATION SKILLS

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HOLLOW SQUARES EXERCISE  
TIE IN WITH FM22-102: SOLDIER TEAM DEVELOPMENT  
INCLUSION EXERCISE  
GROUP DEVELOPMENT STAGES  
FUNCTIONAL ROLES IN GROUPS  
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BONDING PROCESS (3 STAGES)

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FUNCTIONAL STANDARDIZATION

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USE AS DESIGNED  
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COHESION RESEARCH DATA  
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USING THE GROUP AS A RESOURCE  
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"PACING" OF TRAINING--SUSTAINMENT  
REPLACEMENT ASSIMILATION--PEACETIME/WARTIME--SAME?

**MOD 10: GOALS REVISITED/REVIEW AND CRITIQUE**

AFTER ACTION REVIEW OF TACTICAL TRAINING IS MODELED  
GROUP CRITIQUES ITSELF AS WELL AS THE COURSE  
GROUP PLANS FOR ACTIONS BEYOND CLASSROOM

## TRAINER'S GUIDE TO MODULE 1

Module 1 introduces the course, contains the administrative information for participants, and then addresses the important concept of leader self-awareness. The primary instrument used in this module is the Myers-Briggs Type Indicator (MBTI). It is crucial that the trainer discuss the instrument and its implications very carefully. The intention is NOT to psychoanalyze anyone, or to "label" anyone. The simple message to be conveyed is that people differ in their preferred ways of looking at the world. The Myers-Briggs instrument indicates that some of these differences in behavior are both understandable and, to a certain extent, predictable.

The key points to be conveyed by the trainers are these: People do not all process information the same way; it is always risky to make assumptions about someone else's behavior or preferences; there is no one "correct" leadership type; a leader who realizes that differences can be beneficial within a unit will be a better leader; and, most importantly, a leader must realize that not everyone sees him as he sees himself. An effective leader does not necessarily surround himself with people who think like himself. He uses other people as resources in an appropriate way, so that differences enrich the group.

The Myers-Briggs offers a way to gain insight into these points, and it offers an opportunity to discuss these issues. In no way is it intended to "brand" anyone with an irreversible label. Nor is anyone obligated to accept the Myers-Briggs scores. If a participant disagrees with the results of his particular score, the trainer should tell him or her to choose whatever type seems more accurate. This is a perfectly acceptable option. In most cases, however, the vast majority of participants will recognize their scores as being reasonably accurate. Again, the key is for the trainer not to attempt to jam anything down a reluctant participant's throat. The teaching points can be made with or without strict allegiance to the MBTI results.

## TRAINER'S GUIDE TO MODULE 2

Module 2 addresses the importance of basic communication skills among soldiers. These skills are important in dealing with seniors, with subordinates, with peers, as well as with family members and neighbors. The module concentrates on demonstration and practice of the very basic skills, to include giving and receiving feedback, active listening, and managing conflict.

A key point to be conveyed is that there is a carry-over from Module 1. A self-aware leader is conscious of his impact on others. Also, rather than make assumptions about others, he or she will use communication skills to ask the key questions, provide responsible feedback, manage conflict in a responsible manner. The major element in Module 2 is that the trainer be capable of modeling the skills and that those skills are practiced by the participants both in the classroom and beyond. This is a skill course, not a knowledge course. "Everyone already knows how to do all of this" is not the right answer.

Modules 1 and 2 should be looked upon as the basic building blocks upon which the rest of the course is to be built. If the training objectives of the first 2 modules are not met, the rest of the course will not be as rich and progressive as it could be. In fact, the rest of the course could then become a very empty gesture.

### TRAINER'S GUIDE TO MODULE 3

Module 3 addresses the topic of soldier team development. It is designed to build on the leader self-awareness issues and the basic communications skills covered in the preceding modules. The basic reference for this module is FM 22-102 "Soldier Team Development." The module is designed to demonstrate within the intact work group what team building and group development are all about.

A very key aspect of this module is the introduction of the concept of replacement assimilation. The work group is forced to deal with the real issues of welcoming new members and integrating them into the small unit. This is another theme that runs throughout the remainder of the course. Assimilation of newcomers is a constant, ongoing challenge at small unit level. The trainers should never miss an opportunity to reinforce this point during the training. Naturally occurring events, such as the soldier who misses morning training and then rejoins the group in the afternoon, can be used to demonstrate the challenge of assimilation. Also, group norms and values will be demonstrated by the participants. The trainer should be prepared to point these out as they emerge. Is it okay in this group to be late for class? Is it okay to be disruptive? What are the norms or trends? What values are implied or stated by members?

## TRAINER'S GUIDE TO MODULE 4

Module 4 addresses the concepts of leadership and followership. The message to be delivered during this module is that leadership must be group-centered, not individual-centered. This entire module is treated as a "Meeting." This is done in order to demonstrate meeting management techniques, as well as to model the importance of group participation within the small unit.

The module is built around the key themes of caring leadership and of dynamic subordinancy. Leadership is team-focused. The importance of being willing to actively solicit feedback from subordinates and peers is emphasized. This ties in with the previous material in modules 1, 2, and 3.

The Tinker Toy exercise is intended to illustrate the point that sometimes competition can be counterproductive. Collaboration among peers can work to the advantage of the next higher unit and its ability to accomplish the mission. (In other words, two platoons engaged in competition and unwilling to share resources can cause the company to fall short of mission accomplishment). Unit members who routinely think one level up will tend to be more functional. This ties in well with the notion of always understanding the commander's intent. (One of the leader's obligations is to verify that his intent has been communicated and understood).

## TRAINER'S GUIDE TO MODULE 5

Module 5 represents a shift in emphasis within the course. The first four modules introduced some skills and some ways of looking at the dynamics within small units. Module 5, which deals with Unit Goal Setting, shifts the emphasis to the unit members working on their own unit business. The rest of the course will take advantage of the fact that the participants are members of an intact small unit and have real unit challenges facing them. The first four modules provided some skill training which can now be utilized as the unit members establish goals, clarify roles and role relationships, solve problems, develop action plans, and conduct after action reviews of unit training. Ample opportunity exists to practice and to reinforce the training objectives of the previous modules. The course is truly intended to be sequential and progressive; trainers should never miss opportunities to exploit previous teaching points.

Goal setting begins with the focus on Outcomes. "What outcome are you trying to achieve?" is the basic question to be asked. If you do not agree on the mission or the target, chances are you won't accomplish much no matter how intense the effort expended.

One of the goals to be dealt with is to have a set of functional unit standards. What is to be standardized and at what level? Does each standard have an organizational purpose? Have standards turned into another form of competition, or are they truly mission-related?

Looking at least three years out is essential. Otherwise the unit members will focus only on near-term goals. A three-year focus forces the unit to deal with the challenges of transitioning between leaders, since few commanders or leaders are in position for a three year period. New leaders tend to want to "wipe the slate clean and start over." Such an approach is not necessarily in the best interest of the unit.

## TRAINER'S GUIDE TO MODULE 6

Module 6 addresses the important aspects of organizational structure. It is important that the participants do the work, not the trainers, at this point in the course. Each participant will draw an organizational chart, as he or she understands the unit's structure. It is crucial that the trainers do not impose their own ideas and that the participants do not confer with one another. A second chart is prepared in a similar manner, dealing with the participant's understanding of his chain of accountability, in terms of who assigns work to whom. Although this exercise may seem silly at first, the discussions that ensue when the various charts are compared will become very relevant to how work in that unit actually gets done, and how many different perspectives exist within that intact chain of command.

Causing each participant to work through the challenge of defining the various roles, to include the responsibilities of each, is a very revealing exercise. The trainer can make this even more meaningful by tying it in with the previous discussion (in Module 4) about caring leadership and dynamic subordinancy. Cross-training is another topic that should be addressed in this context.

Performance counseling is inherently a part of every role within the chain of command. Hence, it is addressed in this module. It is important that the trainers ensure that the counseling techniques be properly modelled, either by the trainers themselves or by prepared and rehearsed participants. It is crucial that the participants all practice the skills until they have demonstrated proficiency. Again, the difference between knowing how and actually doing it is a critical difference.

## TRAINER'S GUIDE TO MODULE 7

Module 7 is a direct carry-over of the work that has been accomplished in the previous module. Again, it is important that the trainers allow the participants to accomplish this effort as real unit work relationships, not as a contrived exercise. The role of the trainer is a simple one: provide the work sheets, and then just allow the participants to stay focused on the task at hand. Believe me, this module has an energy all of its own! If you think platoon leaders and platoon sergeants all know and already agree on what those roles entail, you need to experience this module at least once. It is a guaranteed eye-opener for both participants and trainers. Allow the inevitable discussions to take place, but insist that the learnings from the previous modules (such as active listening, responsible and effective feedback, and conflict management) be applied by all.

## TRAINER'S GUIDE TO MODULE 8

Module 8 demands less direct involvement from trainers than previous modules. The key is to allow the natural energy of the group to be focused on the participants' very real unit challenges. Trainers present the problem solving cycle, pointing out that the first step (defining the real problem) is the most crucial one, not to be short-circuited. The prepared handout of challenges provides sufficient raw material to energize the participants. The crucial aspect is for them to define their own real unit challenges to be met, rather than passively accepting what the trainers provide.

Proposed solutions are provided as handouts for two of the problems. Again, there is no obligation for the participants to passively accept what is offered; it is critical that they develop their own solutions. (Trainers should watch for the tendency of participants to generate one "good" solution and several "throwaways." Trainers should discourage such attempts to find short-cuts to creativity). Time will most likely not permit the participants to "solve" all problems during the time allotted for this module. What is important is that they agree on statements of the problems and are committed to continuing to work toward unit approaches to solving them. Module 9, which immediately follows, provides more time for action planning on selected problems.

Also, as part of Module 8, practical exercises in personal counseling are conducted. Trainers should point out that personal counseling is a special case of problem solving. These exercises are to be used to reinforce previous training in active listening, demonstrated caring, and observation skills, as well as teaching that non-directive counseling means that the appropriate person solves the problem, not necessarily the leader/counsellor. As was done during performance counselling, proficiency in personal counseling must be demonstrated, not just talked about.

## TRAINER'S GUIDE TO MODULE 9

Module 9 addresses the development of an actual action plan, as part of the problem solving cycle. Basically, this module is a continuation of the work that was started in module 8. The trainers provide the action plan format, which simply states who is to do what by when. The primary role of the trainer during this module is to keep the work groups on track and allow them to pursue their own group plan of action on the unit's own relevant problems or challenges. The trainers should be prepared to point out whether or not the participants are using the skills that were taught in previous modules.

## TRAINER'S GUIDE TO MODULE 10

Module 10 is the culmination of the course. It seeks to integrate all of the skills previously taught. In essence, this entire module is an opportunity to conduct an after action review of the course. The trainers should seek to model for the participants how an after-action review of tactical training should always be conducted by the members of a cohesive small unit. The entire course is reviewed, module by module, focusing on the objectives and the course goals. Participation by all members is encouraged and rewarded. Strengths as well as shortcomings are discussed. The concept of how to maximize the opportunity to enhance cohesion and training effectiveness through the proper conduct of group-based after action reviews, with full group participation, open communication, observation skills, receptivity to feedback, etc., should be discussed and demonstrated. The overall intent is to improve future training for the participants as well as for the trainers.

Evaluation sheets are filled out and collected. As appropriate, a graduation ceremony can be conducted to mark completion of the course and to reward the participants. All chart work becomes the property of that unit. A point to be emphasized is that the course completion is a beginning, not an end, in terms of unit working relationships and the unit's mission and goals.

## LDR 90 COURSE EVALUATION

**Instructions:** Please answer the following questions as completely, honestly, and specifically as possible.

1. Will you recommend the course to others? Why or why not?

2. Were the goals of the course met? Please comment.

3. Please evaluate the major portions of the course in terms of effectiveness as you see it: (Circle the appropriate point on the continuum).

1 totally ineffective	2 ineffective	3 don't know (absent)	4 effective	5 very effective
Self Knowledge			1 2 3 4 5	
Communication Skills			1 2 3 4 5	
Team Development			1 2 3 4 5	
Leadership Behavior			1 2 3 4 5	
Unit Goal Setting			1 2 3 4 5	
Role Clarification			1 2 3 4 5	
Role Relationships			1 2 3 4 5	
Problem Solving			1 2 3 4 5	
Action Planning			1 2 3 4 5	
After Action Review and Critique			1 2 3 4 5	

4. Please write a short statement recommending ways to improve the course. (Use back of sheet if more space is needed).

Name \_\_\_\_\_ Rank \_\_\_\_\_ Unit \_\_\_\_\_

# Executive Development Research Group

## Working Paper

88-06

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LEADER DEVELOPMENT TRAINING ASSESSMENT OF U. S. ARMY  
BATTALION COMMANDERS

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May 1988

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## BATTALION COMMANDER LEADERSHIP ASSESSMENT

### EXECUTIVE SUMMARY

#### Requirement:

This investigation explored self assessment technology as an aid to leadership skills development. Specifically examined was the 6 day Center for Creative Leadership (CCL) Leader Development Program (LDP), purporting to improve abilities and insights on attributes relevant to leadership performance. A previous evaluation of the participation of 25 brigade commanders (Stewart & Hicks, 1987), suggested the general promise of the LDP. The purpose of the present effort was to evaluate the LDP from the perspective of participant battalion commanders (with brigade commander results included for comparison).

#### Procedure:

Twenty battalion commander designees were selected for participation in the LDP, serving as the "experimental" (X) Group, and a comparable aggregate of twenty serving as the "control" (C) Group. Five instruments were administered to the X Group, with two, the LDP questionnaire and interview, having been used in the brigade commander evaluation. The remaining three instruments were administered to all participants. Two of these were battalion commander leadership assessments, one by supervisors and the other by subordinates. The fifth questionnaire required battalion commanders to estimate subordinates' ratings.

#### Main findings:

Though there was general agreement between the battalion and brigade commanders as to the benefits of the LDP, the following results apply specifically to the battalion commanders:

The most outstanding element of the LDP was feedback about personal strengths and weaknesses, which reportedly translated into increased self-examination and motivation toward self-improvement. Most participants reported a heightened awareness of "known" personal attributes.

There was a consensus of opinion that the LDP should be targeted to the rank of lieutenant colonel, in general, and to battalion command designees, in particular.

The X Group was unanimous in the opinion that the LDP was cost effective, being worth \$3000 to the Army and one week away from the job.

#### Supplemental findings:

No statistically significant differences in leader behavior

between X and C Groups were found.

Much camaraderie developed.

Questions about mentoring revealed variation in definition and practice. There was consensus as to its importance, the lack of time for it, and the need for it to augment the "formal" system.

All respondents reported changes in life perspective as they aged, usually associated with significant emotional events and intensive job assignments.

## **FOREWORD**

This report documents an evaluation of a Leader Development Program administered to nineteen US Army battalion commander selectees.

The purpose of the evaluation was to ascertain (a) the effects of the Program upon the battalion commanders, (b) more precisely what the nature of the experience should be, and (c) the optimal career point(s) for administration of such a Program. The information herein provided is intended to aid in policy decisions concerning the future of such programs for the US Army. This is a companion report to a previously reported evaluation involving twenty-five Training and Doctrine Command brigade commanders.

Special thanks are extended especially to Mr. Stephen Stewart of the Army Research Institute, and also to Mr. Ken Lucas of Allen Corporation for their invaluable input to this report.

**EDGAR M. JOHNSON  
Technical Director**

## LEADER DEVELOPMENT ASSESSMENT OF BATTALION COMMANDERS

### INTRODUCTION

#### Background

The research to be reported derives from the interest of Army senior leadership in Army professional development activities. Such concern led to discussions among high level general officers in the Spring of 1985 to consider use of the relatively newly developed technology of self-assessment as a part of leadership training. The central question to be examined was to what extent such self-assessment would enhance self-understanding of leadership strengths and weaknesses, and thus contribute to improvements in leadership abilities.

Two of the key emerging research issues were (1) what should the self assessment experience be, and (2) at what career juncture would it be optimal. The Office of the Deputy Chief of Staff for Personnel, Department of the Army (ODCSPER, DA) sought answers to these and related questions with the help of the Army Research Institute (ARI). Thus, ARI, in conjunction with the ODCSPER, DA Leader Policy Division, initiated two related research projects.

Both of these projects focused upon field grade officers, with the first pertaining to Training and Doctrine Command (TRADOC) brigade commanders (Stewart & Hicks, 1987). These officers participated in a six day Leadership Development Program (LDP) conducted by the Center for Creative Leadership (CCL), as part of their preparation for brigade command.

The second project, and the subject of this report, addressed a sample of battalion commander selectees who attended a CCL LDP similar to that experienced by the brigade commanders.

#### Objectives.

An evaluation of the effectiveness of the LDP experience for the battalion commanders is the primary focus of this report (with the brigade commander questionnaire results included for comparison purposes). Emphasis is upon the value of the LDP as reported by the participants, career points for optimal utility.

The availability of the C Group made supplemental quantitative comparisons with the X Group regarding perceived leader behaviors possible.

Additional qualitative feedback also provided information about camaraderie, mentoring, behavior changes, and elevations in life perspective.

## METHOD

### Participants.

The participants were selected by the ODCSPER, DA Leader Policy Division from the fiscal year 1986 Principal Battalion Command List. To reduce temporary duty costs of attending the LDP at a southeastern location, the original list was limited geographically to 56 officers with tours in the National Capital Region in particular, and the east coast of the Continental United States in general. From this list 38 names were obtained, 36 of which represented Infantry and Armor branches. To represent other branches, an engineer and a field artillery officer were selected. Two reservist battalion commanders were also added, to represent the reserve components, bringing the list of selectees to 40. This aggregate was subsequently divided into the X Group (LDP participants) and the C Group (LDP nonparticipants), to be discussed in more detail below (Knowlton, personal communication, 1987)

### Instruments.

Five data collection instruments were employed. Two of these, used in the brigade commander study, were a 15 minute LDP Questionnaire (Appendix A) and a 1 hour LDP Interview Schedule (Appendix B). These instruments permitted a full spectrum of participant feedback about the LDP. The interview was intended as an in-depth probe for rationale behind questionnaire responses.

The third instrument addressed supervisor evaluations of the battalion commanders. This was the battalion Commander Evaluation Questionnaire (BEQ), exhibited in Appendix C, and was administered to the brigade commander raters of each participant battalion commander. It consisted of nine evaluative statements about leadership ability, and an overall performance rating. The purpose of this five minute instrument was to determine if the X Group might receive higher supervisory ratings than the C Group, presumably due to the LDP experience. To facilitate within-brigade comparisons, the brigade commanders were asked to rate their nonparticipant battalion commanders as well.

The fourth instrument was the Company Commander Behavior Description of Battalion Commander Questionnaire (COBAT). This inventory (Appendix D) consisted of 58 "behavior statements" obtained from the 100 item Officer Professionalism Questionnaire used by Reid (1983) and others at the Army War College. The items selected for the present study were aimed at deriving an overall picture of how the battalion commanders conducted themselves as leaders, particularly in the sense of manifesting an orientation indicative of placing the Army and the Unit above personal ambitions. This instrument was administered to examine the possibility of the X Group being rated higher by subordinates than would the C Group, due to the LDP experience.

The COBAT items were also used for the Battalion Commander Perception of Subordinate Behavior Description Questionnaire

(BATSUB). This questionnaire, shown as Appendix E, differed from the COBAT as to instructions for the battalion commanders to indicate "...how your company commanders might rate you..." The purpose of this instrument was to generate correlations between the company commander ratings and the battalion commander attributions. The hypothesis was that X Group correlations would be higher than C group correlations due to the greater awareness of how oneself is being perceived by others based upon the LDP experience.

Procedure.

The 40 selectees, described above, were sent letters (sample, Appendix F) in September 1985, signed by the DCSPER, DA, inviting them to participate in "...a study to evaluate the effectiveness of assessment programs." They were told how they had been selected and that their participation was voluntary. They were also assured anonymity, and that no formal evaluation of them was involved. Upon achieving 40 volunteers, two aggregates of 20 were created, resulting in the X and C Groups mentioned above. Care was taken to match as to branch representation.

In October 1985, two forms of a follow-up thank you letter, (sample as Appendix G), were sent to the forty volunteers. The main difference between the letters was that the X Group was invited to participate in the LDP and the C Group was not. The X group letter included information about the LDP and arrangements to attend. Both groups were told to expect follow-up assessments by ARI.

In that one X Group member declined the invitation after having initially accepted, 19 individuals attended the six day CCL LDP (10-15 November 1985) at Eckerd College, St. Petersburg, Florida. For most of the participants, this activity occurred prior to assuming command. The C Group proceeded according to their normal schedule, without being informed in writing about the X group participation in the LDP.

In the Spring of 1986, an X Group and a C Group version of a third letter was sent to all participants, signed by the Chief of the Leader Policy Division, ODCS PER, DA. These letters, (samples as Appendix H) provided detailed information about the total LDP evaluation plan, including a site visit. The key difference between the letters was that the X group was asked for an hour to discuss their LDP experience. Enclosed with the X Group letters was the LDP questionnaire, and the BATSUB. Both groups were asked to provide copies of the letter to their brigade commanders informing them of the project, and that they would be asked to evaluate each of their battalion commanders' performances. All battalion commanders were also told that their own company commanders would be asked to make ratings of them, and to please arrange for their availability.

The X and C Groups were divided among three interviewers according to geographic locale; eastern continental United States (Fts. Bragg, Campbell, Benning, Polk, and Stewart), western continental United States (Fts. Lewis, Bliss, Knox,

Riley, and Hood), and United States Army in Europe (Boeblingen, Baumholder, Ilesheim, Bindlach, Schweinfurt, Kisengen, & Swabach, Germany, and Vicenza, Italy).

A few weeks after the letters were sent, follow-up phone calls were made by the interviewers to arrange for the on-site visits. Of the original 20 members of each group, 14 of the X Group and 15 C Group members were successfully scheduled. Due to travel budget limitations, three participants were eliminated in far way locations, viz., Korea and Hawaii. The remaining few were lost due to being out of command or scheduling difficulties. Site visits were accomplished during the summer of 1987, with a high degree of cooperation shown.

## RESULTS AND DISCUSSION

### LDP Experience and Evaluation.

Thirteen of the fourteen X Group members either returned the LDP questionnaires by mail or submitted them to the interviewers on-site. All fourteen were interviewed, and the results of these interviews will be an integral part of this presentation of findings. As stated earlier, this section concentrates upon battalion commander findings, with the previously reported (Stewart & Hicks, 1987) brigade commander data presented as appropriate.

The first set of questions concerned the major elements of the LDP, which the battalion commanders were asked to rate on a 5-point scale, from zero (No value) to four (Excellent). Means and standard deviations for each element are shown in Table 1 for both battalion and brigade commanders.

Table 1  
Ratings of LDP Course Elements

Element Label	Mean		Standard Deviation	
	Btn	Bde	Btn	Bde
Decision Making	3.15	3.05	.56	.70
Situational Leadership	3.31	3.53	.48	.51
Utilizing Group Resources	3.62	3.16	.65	.83
Innovative Problem Solving	3.62	2.95	.51	1.08
Presentation & Preparation				
for Goal Setting	3.08	2.90	.64	.74
Goal Setting Activities	2.92	2.84	.76	.76
Presentation of Feedback	3.38	3.26	.51	.81
Peer Feedback	3.77	3.16	.60	.83
Staff Feedback	3.69	3.64	.48	.50
<u>Assessment Activities</u>	3.38	3.21	.77	.92
Overall Mean	3.39	3.17	.60	.77

All elements were given relatively positive ratings by the battalion commanders with an overall mean of 3.39. Their two

highest ranked elements were "Peer Feedback" (mean=3.77) and "Staff Feedback" (mean=3.69). These elements were followed closely by "Utilizing Group Resources" and "Innovative Problem Solving," both with mean ratings of 3.62. The lowest ratings were given to the two categories of goal setting; "Presentation and Preparation of Goal Setting" and "Goal Setting Activities" with mean ratings of 3.08 and 2.92 respectively.

Though there was substantial apparent agreement between battalion and brigade commander ratings, a one-way analysis of variance was performed to ascertain if any statistically significant overall difference in mean ratings existed. The resulting F ratio of 3.44 was nonsignificant at the .05 level.

The interview data corroborated the questionnaire data with the most favorable comments being made about the feedback sessions. This was as expected since personal feedback was the focus of the LDP. It was also apparent from the interviews that the battalion commanders-to-be had been particularly eager to utilize the LDP in this regard in preparation for the most challenging assignment of their careers. Battalion command is widely perceived as a make-or-break point. To what extent such motivation to maximize the experience might have influenced and perhaps enriched the climate of the feedback sessions is an empirical question. The brigade commanders, with career success secured, seemed more relaxed. All had survived the rigors of battalion command, and had presumably learned a lot about themselves in the process. Thus, they were somewhat less inclined to feel a need to use the LDP for in-depth self-assessment. And, as a group, they were more inclined to feel that they might be on the "down-side" of their military careers anyway.

Another frequent observation was that the LDP provided an opportunity to "get away" into an unstructured, non-competitive environment fostering a relaxed atmosphere conducive to reflective thinking. And that this, in turn, engendered more open-mindedness and a fresh look at oneself and the world. An important by-product of this atmosphere was that it provided a basis for no-holds-barred discussion of real, live issues that would likely come up in their commands. In this light, several of the battalion commanders alluded to other leadership training programs, such as the Pre-Command Course (PCC). The general tenor of these remarks was that the LDP had been more effective than the PCC in preparing them for their commands by virtue of the free and open atmosphere--an atmosphere fostering the freedom to expose anxieties and critical concerns. The participants also drew a sense of security from the recognition that they were "not alone" in their quest for a better handle on their challenging new assignments.

Part II of the Questionnaire dealt with perceived improvement in certain abilities as a function of the LDP. Again, a 5-point scale was used, ranging from zero (No improvement) to four (Very much improvement). Table 2 presents means and standard deviations on each item.

Battalion commanders reported higher overall mean ratings

than did the brigade commanders (2.47 and 2.08, respectively). A one-way analysis of variance proved this difference to be statistically significant, producing an F ratio of 11.70 (p .02). The two greatest disparities contributing most to this difference were "improvement in ability to use groups in decision making," and "improvement in ability to generate creative solutions." These categories yielded mean differences between the battalion and brigade commanders of .95 and .82, respectively.

Table 2  
Ratings of Improvement in Abilities

Ability to...	Mean		Standard Deviation	
	Btn	Bde	Btn	Bde
Set and achieve work goals	2.38	2.10	.77	.66
Set and achieve personal goals	2.38	2.26	.65	.81
Listen	3.08	2.53	.76	.61
Communicate	2.62	2.32	.65	.95
Generate creative solutions	2.77	1.95	.93	.97
Receive and use negative feedback	2.62	2.58	1.12	.90
Delegate effectively and appropriately	2.46	1.79	.88	1.08
Manage subordinates	2.46	1.90	.66	.99
Balance work and personal life	2.23	1.84	1.01	1.07
Give positive feedback	2.69	2.26	.95	.65
Give negative feedback	2.08	2.10	1.12	.81
Use groups in decision making	3.00	2.05	.58	1.08
Facilitate group discussion	2.69	2.16	.95	.90
Draw people out in groups	2.54	2.16	.97	.96
Resolve conflict in groups	2.46	1.95	.66	.62
Promote teamwork in groups	2.62	2.16	.65	.76
Be assertive	1.69	1.58	.72	.96
<u>Be self confident</u>	<u>1.77</u>	<u>1.68</u>	<u>.64</u>	<u>1.00</u>
Overall Mean	2.47	2.08	.82	.88

Battalion commanders gave the highest rating to "improvement in ability to listen" (mean=3.08), with "Improvement in ability to use groups in decision making" a close second with a mean of 3.00. By far the lowest ratings were given to improvements in "ability to be assertive" (1.69) and "ability to be self confident" (1.77). These latter ratings may merely reflect that, being battalion command designees, they already possessed a healthy share of assertiveness and self confidence. Then too, these are more basic personality traits, not as subject to change as listening and decision making.

The emergent pattern for both groups was emphasis upon communication skills. In the interviews, substantial concern was shown by battalion commanders for interpersonal interaction and message content with regard to subordinates. They displayed a keen awareness of the significance of such communication for

purposes of unit readiness and performance. A typical comment was that the biggest challenge for a battalion commander was "communicating with junior officers." Several participants reported follow-up efforts on their parts to bring about such communication. Further comments on this topic, of such relevance to the thrust of the LDP, are reserved for the discussion of "mentoring" below.

The next set of questions concerned reported improvements in self insights attributable to the LDP, again along a five-point scale, from zero (No improvement) to four (Very much improved). The means and standard deviations are shown in Table 3.

Again, a statistically significant overall difference was found between the battalion and brigade commanders, with a one-way analysis of variance producing an F ratio of 6.35, meeting the .02 level of confidence. The overall means were 2.66 and 2.35 for the battalion and brigade commanders respectively. The two largest discrepancies contributing most to this effect were reported improvements in self insight regarding "strengths as a manager" and "weaknesses as a manager"--with battalion commanders rating both higher.

Table 3  
Ratings of Improvement in Self Insights

Insight into...	Mean		Standard Deviation	
	Btn	Bde	Btn	Bde
Strengths as a person	2.92	2.63	.64	.76
Weaknesses as a person	2.85	2.68	.56	.88
Strengths as a manager	2.85	2.42	.80	.69
Weaknesses as a manager	2.77	2.32	.72	.75
How others perceive me	3.00	3.10	.58	.74
My individual needs	2.38	2.05	.77	.97
My individual motivations	2.54	2.32	.88	1.00
Others' needs	2.69	2.37	.63	.76
Others' motivations	2.62	2.26	.77	.81
My career in the Army	2.31	1.84	.86	1.17
My relationship to the Army	2.31	1.84	.75	1.07
Relationships with others in general	2.69	2.37	.75	.76
Overall Mean	2.66	2.35	.73	.86

There were generally higher ratings given to improvements in self insights than to improvements in abilities, reported in Table 2. Perhaps this is not surprising in that abilities are enduring characteristics developed over time, whereas insights should be characterized more as "spontaneous" learning experiences. More central attributes are less subject to change than are more peripheral ones.

Battalion commanders ranked "how others perceive me" as their greatest improvement in self insight (mean=3.00),

especially in terms of strengths and weaknesses as persons and as managers. This finding represents the crux of the LDP, and is consistent with the results shown in Table 1 where staff and peer feedback were given the highest ratings. Substantially lower marks were given to improved self insights into "my individual needs and motivations," "my career in the Army," and "my relationship to the Army," reflecting more of a focus upon profession than career. As can be seen, brigade commander findings corresponded very closely.

Interview results strongly supported the perception of improvement in self-understanding shown by the questionnaire data. The battalion commanders, even more than the brigade commanders, were inclined to say that they had learned new things about themselves by virtue of the LDP. But that these "new things" should not be construed as "revelations," but as broadened appreciation of known attributes. "It confirmed what I already knew" was a common refrain. But there was a substantial perception, particularly among the battalion commanders, of having developed a keener appreciation of their own strengths and weaknesses through an increased awareness of how they were perceived by others. This, they said, translated into increased self examination and improved self assurance. "It helped me focus on certain traits to work on," was a typical remark, or "It reassured me about my self perceptions." Such reported self confirmation was not as strong among the brigade commanders, presumably due the fact that, being more senior, they were operating from a higher baseline of self knowledge at the time they took the LDP, as previously pointed out. But, especially for the battalion commanders, the feedback appeared to serve as a reinforcer, paving the way for a more relaxed and confident approach to the job.

An overall reaction to the LDP was achieved with the following question: "Do you feel that the CCL LDP was sufficiently worthwhile to justify the Army's investment of \$3,000 and at least a week away from the job?" Means and corresponding percentages for battalion and brigade commanders are shown in Table 4.

There was unanimity among battalion commanders as to the positive worth of the LDP to the Army. Many of the reasons for this support have already been given. Comments such as "it transcended business as usual" and "...facilitated a sharing of

Table 4

Overall Worth of the Leader Development Program

<u>Response</u>	<u>Frequency</u>		<u>Percent</u>	
	<u>Btn</u>	<u>Bde</u>	<u>Btn</u>	<u>Bde</u>
Yes	13	14	100	70
Uncertain	0	2	0	10
No	0	1	0	5

views..." were typical. A test for differences between battalion and brigade commanders produced a nonsignificant ( $p < .05$ ) chi square of 4.31.

There was also the general observation that the program was only appropriate for "very select groups." Further light was shed upon this issue by participants' responses to the following question: "At what point in an officer's career is it most crucial that he or she take the LDP?" Table 5 reports frequencies and percentages on this query.

Though there were some differences, a clear majority of battalion commanders felt the LDP to be most appropriate for the lieutenant colonel level, and, according to the interviews these should ideally be command selectees. Company command level was generally considered premature for optimum effect. None of the battalion commanders indicated that the LDP would be most appropriately offered at the full colonel level, compared to twenty five percent of the brigade commanders. However, this difference was not reliable, with a chi square test yielding a nonsignificant ( $p < .05$ ) value of 10.87.

Table 5  
Most Appropriate Career Point

<u>Response</u>	<u>Frequency</u>		<u>Percent</u>	
	Btn	Bde	Btn	Bde
General	0	1	0	5
Colonel	0	5	0	25
Lieutenant Colonel	9	8	69	40
Lt. Colonel & Major	3	0	23	0
Major	1	2	8	10
Captain	0	1	0	5
First Lieutenant	0	1	0	5
Second Lieutenant	0	0	0	0
N/A or missing	0	2	0	10

Table 6 addresses the question "Are there other career points at which the LDP would be beneficial." These entries must be interpreted relative to Table 5. Once a rank had been selected as "most crucial," it could not be reasonably selected again as "another" appropriate career point. Thus, Table 6 called for selections of ranks different from those reported in Table 5 and, in particular, explains the low frequencies shown for lieutenant colonel. Another caveat is that several of the battalion commanders made multiple selections, thus introducing additional categories. Except for one (generals & colonels), these were omitted from the chi square analysis.

The general consensus was that higher ranks might better benefit from the LDP than lower ranks. Again, most of the participants felt that company grade officers had not yet

sufficiently matured to optimally benefit from such an

Table 6  
Other Appropriate Career Points

<u>Response</u>	<u>Frequency</u>		<u>Percent</u>	
	<u>Btn</u>	<u>Bde</u>	<u>Btn</u>	<u>Bde</u>
General	4	3	31	15
General & Colonel	2	0	15	0
Colonel	0	4	0	20
Colonels & Captains	1	0	8	0
Lt. Colonel	0	3	0	15
Major	0	3	0	15
Captain	2	1	15	5
Captains, 1st Lt, 2nd Lt	1	0	8	0
First Lieutenant	0	0	0	0
Second Lieutenant	0	1	0	5
N/A or Missing	3	8	23	40

experience. This time, a chi square of 14.06 was found to be statistically significant at the .05 level. Primarily responsible for this difference was the greater concentration on the middle ranks by brigade commanders, whereas battalion commanders opted more for the higher ranks as other appropriate career points for the LDP. As mentioned, this outcome was somewhat contingent upon Table 5 results, where the reverse pattern was found.

Though not central to the evaluation methodology, it seemed reasonable to presume that 6 days of intensive interpersonal exchange fostered by the LDP might generate significant "camaraderie." And if such camaraderie did develop as suspected, it might hold implications for continuing quality communication subsequent to the LDP, and the bonding and mutual trust that goes with it. Thus, a question asked on the LDP "

Table 7  
Camaraderie

<u>Response</u>	<u>Frequency</u>		<u>Percent</u>	
	<u>btn</u>	<u>bde</u>	<u>btn</u>	<u>bde</u>
Very much	6	10	43	50
Much	7	3	50	15
Some	0	6	0	30
Little	0	0	0	0
None	0	0	0	0
Missing	1	1	7	5

questionnaire as to "how much camaraderie was generated in the group which took the LDP?" Table 7 shows frequencies and percentages of responses along a scale ranging from "very much camaraderie to "None".

As shown, the development of camaraderie was considerable, especially for battalion commanders, all of whom used the "very much" and "much" categories. As many as 30% of the brigade commanders selected the "some" camaraderie category. This difference was verified by a chi square of 7.94--statistically significant at the .02 level. This finding suggests that either the brigade commanders knew one another very well already, or that as a group they did not feel the intense need to engage in the kind of openness that sparks camaraderie.

The battalion commander interviews were infused with comments about the camaraderie generated by the LDP experience and the desire to remain closely in touch with the other participants. In fact, a feasible mechanism for such perpetuated camaraderie is currently being pursued in the form of asynchronous computer conferencing. That is, by equipping the LDP participants with desk computers with electronic mail capability, in-depth examination of relevant command issues, feedback, and brainstorming of new ideas could be greatly facilitated. A later ARI report will document this networking experiment.

#### Comparison of Experimental and Control Groups.

A supplemental feature of this investigation was the availability of the C Group, allowing for a series comparisons of the X and C Groups on relevant measurements. For this purpose, several uncorrelated t tests were run. The first of these involved the BEQ, which was collected for thirteen members of each group. Mean ratings were 4.52 and 4.35 for the X and C groups respectively, yielding a nonsignificant t value of 1.22. Thus, the possibility that X Group might receive higher brigade commander ratings than the C Group did not materialize.

An additional comparison was derived from the brigade commanders' overall ratings of the battalion commanders. Of eleven such ratings made for the X Group, nine were "top block", i. e., above Army standards, with the remaining two rated as performing at Army standards. Of the twelve overall ratings made for the C Group, ten were top block and two were second block. Thus, there was little difference between the two groups based on these ratings. Nor did an examination of the comparative ratings of nonparticipant battalion commander colleagues (neither X or C Group members) reveal any indications of differences between the X and C Groups. None of the battalion commanders, including the nonparticipants, was rated as performing "marginally" or "below Army standards."

The next comparison came from company commander evaluations of battalion commanders (COBAT). The mean ratings for the X and C Groups were 3.55 and 3.49 respectively, producing a nonsignificant t value of .66 ( $p > .05$ ).

The last test concerned the degree to which the BATSUB

attributions correlated with the actual COBAT ratings. Thus, correlations between the BATSUB and an aggregate of the counterpart COBAT were computed separately for each battalion commander, resulting in twenty five correlations, thirteen X Group and twelve C Group. These correlations were uniformly high and statistically significant, with means of .696 and .769 for the X and C Groups respectively, as shown in Table 8. A t test for the difference between these mean correlations proved nonsignificant ( $p > .05$ ) Thus, the hypothesis that the X Group would demonstrate greater appreciation of their subordinates' ratings than would the C Group, as measured by correlations, was not substantiated.

Table 8

Mean Correlations between Battalion Commander Attributions and Company Commander Ratings

Group	N	Mean r	Standard Deviation	t	p
Experimental	13	.696	.15		
Control	12	.769	.10	1.38	.18

In sum, the quantitative comparisons of the X and C Groups revealed no statistically significant differences, producing no evidence supporting the efficacy of the LDP. However, it is proposed that these results do not sufficiently undermine the above questionnaire and interview findings to warrant a negative conclusion about the LDP.

First, the samples were small, and this correspondingly reduces the power of statistical tests to show true differences. Nor is there any guarantee that the measures employed were sufficiently sensitive to detect subtle, yet true effects. But most of all, there is a major difference between the two kinds of data being analyzed. The LDP questionnaire and interview data, which show such promise, are based upon verbal reports obtained from the X Group battalion commanders themselves. The X and C Group comparison data were derived from verbal reports of their superiors and subordinates. It seems plausible that maturational progress, perceptible to the individual, might initially be below the just-noticeable-difference threshold of others. The seeds of change are sown before the crop is grown. And inasmuch as the C Group did not attend an alternative or "placebo" program, there was no way to determine if the seeds had been planted for one group and not the other. The clearcut manifestation of behavioral differences at this juncture, in conjunction with the questionnaire and interview data, would have served as solid evidence of the value of the LDP. The absence of such evidence, for reasons given, necessitates a more tentative position regarding the LDP, but certainly not abandonment of its potential utility in some form to the Army. We should not lose sight of the results which clearly showed that the experience was

well worth while in the eyes of the participants and that some important changes in themselves had occurred.

So, the issue at this point remains technically unresolved, as to whether or not the LDP can produce a lasting positive impact, serving as a foundation upon which the individual can build a more thoughtful, creative, and enlightened view of the world and approach to leadership. More research on the matter would appear in order. These data were gathered only a year and a half after the X Group participated in the LDP. One recommendation is that ARI do another followup upon the X Group, an additional year hence. It is surmised that with a dedication toward self-improvement, as is the goal of the LDP, there should be "sleeper" effects, which will cumulate over time to a point when they will clearly manifest themselves in the form of superior leadership performance.

#### Other Findings

Changes in Behavior and Outlook. In order to further pursue the prospect of enduring behavioral changes, a set of questions was included in the LDP interviews to further address this issue. The first of these questions asked specifically about long term behavioral changes attributable to the LDP. The general reaction was that there had indeed been changes that could be linked to the LDP, their essence having been presented in the above discussion of improvements in abilities and insights. Additional commentary included observations about having become more "subordinate oriented," "observant of body language," "recognition that it is a two way street," "counseling," "meetings with troop commanders," and the like.

The second question, concerning major shifts in outlook toward the world, usually required greater introspection. This question was not designed to evaluate the LDP as much as to probe further into what is involved in the acquisition of higher level perspectives, less encumbered with self-interest motivation, and thus facilitating higher levels of work capability. All of the commanders indicated that indeed there had been substantial change in their outlook toward the world over the course of their adult life. There appeared to be two types of changes described, both involving a broadened perspective toward the world. The first and most often reported, was an emotionally based change, involving a careful re-examination of one's values and priorities in life. It was manifest in a sense of increased forbearance, patience, flexibility, and a vision beyond "careerism." When asked what triggered such changes, the officers typically alluded to compelling life experiences such as combat as "having gotten their attention." There were also references to divorces, and other "significant emotional events" as having generated much soul searching.

The second type of change was more intellectually or rationally based, resulting in a less naive attitude about the world. A key impetus to such changes was intensity of job assignment. Some of the commanders referred to key headquarters

staff assignments as real "eye openers." All of such major changes in outlook toward the world resulted in a "bigger picture" which enabled them to view life's problems in a more global way.

Mentoring. An area in which a broadened perspective might manifest itself is in the form of "mentoring"--passing along experience and perspective as guidance to aspiring subordinates. Such generative proclivities should be reinforced by increased sensitivity to the needs of others generally reported to have resulted from the LDP. Mentoring could further provide human resource development feedback to the leadership community. In an effort to throw light on some of these issues, interviewees were asked several questions about mentoring.

The first issue was how to define the term. The interviewers did not offer a convenient definition, thus allowing the interviewees an opportunity to offer their own. There ~~were~~ was no shortage of ideas on the subject. The general conception which emerged was one of counseling and advice from a more experienced person. There were some who thought that the term mentoring was too vague, with such terms as "coaching," "teaching," "guidance," and, "counseling" being employed to grapple with the concept--terms that tended to be used interchangeably. Other terms and concepts heard were "providing instruction," "preventing and correcting mistakes," and "commiseration."

Some of these definitional differences reflected real differences in approach and emphasis in mentoring. Some of what was being described as mentoring was of a distinctly reactive nature, such as correcting mistakes. Others were more proactive. Some emphasized the responsibility to attempt to mentor all subordinates. Others argued that only receptive individuals <sup>upward</sup> could realistically be mentored, and that hopefully these will be the ones with the most potential for higher levels of work. But, there were those who said that the subordinates having the most difficulty should be mentored most. Misgivings about mentoring serving as an informal information conduit to superior officers was also heard. In all probability a good deal of mentorial eclecticism was being practiced. It is implausible to assume that any given commander practiced any particular form of mentoring exclusively, and that there was probably a good deal of overlap in actual practice.

In spite of the apparent variation, there was a general underlying consensus on several issues. All agreed, for example, that mentoring was a most important activity. Most stressed that mutual trust and a sense of partnership must develop. And that it entailed honest, "up front" exchanges, aimed at facilitating improvement in company commander and platoon leader performance, which in the long run would contribute to the growth and maturity of these individuals. A common viewpoint was that mentoring required the identification of potential and cultivating it, perhaps looking out for a subordinate's upward mobility.

How much mentoring was actually done drew additional

reactions. Some said that they did a lot of mentoring and others said they would like to do more. Most interviewees thought that the climate for mentoring in the Army was more favorable than in the past, but that time constraint was still a significant impediment. "Footlocker" mentoring was mentioned by several as an essential complement to the formal Army appraisal system (OER), a system purportedly designed to assure a degree of mentoring.

As to personal mentoring by more senior officers, the commanders generally agreed that such past mentoring had been crucial to their career progression. Many could single out a role model or some outstanding individual who had taken an interest in them.

Several of the battalion commanders indicated that they regarded their brigade commanders more as peers than as mentors, with the brigade commander role usually characterized as "supportive." This makes a good deal of sense from the standpoint that the age differential is usually small, plus the fact that the brigade commander has not yet completed the assignment to which the battalion commander aspires. According to Jaques (19\_\_), mentoring should originate from managers-once-removed. Part of the logic of this requirement is that their previous successful tenure in the level of work to which the subordinate aspires, serves to provide him with the necessary perspective to benefit the subordinate.

### Conclusions.

Based upon the weight of evidence to date, further consideration of the LDP should be given by the US Army. The Program should be approached with an experimental attitude, allowing the program of instruction to evolve and modify--a fix-test-fix approach. A version better tailored to the needs of the Army could be developed and tried out, but perhaps best not integrated into the Army pre-command education system. There seems to be a clear need for an atmosphere whereby ~~the fledgling commanders~~ can let their hair down and capitalize upon the fact that their colleagues have similar problems and concerns as their own. In this way, the much sought after esprit de corps can be facilitated, a sine qua non of effective leadership.

Refer back to  
Bde CDR  
Report.  
Basis for  
these  
commands  
is not  
in this  
report.

Another suggestion is that a stronger innovative problem solving module be developed. Though this element was rated highly by the battalion commanders, it is an activity which stands to be crucial in tight situations. There is a human tendency to err in the direction of standard and time honored solutions to problems when under pressure.

Another possibility would be to design different versions of the program for different career points. The brigade commanders, in particular, saw the LDP as applicable to a variety of career points.

It also not known at this point as to how prevalent the desired "inoculation effect" will be. To those for whom it "takes," there should be manifest an attitude change, which in time will bring about a pervasive and profound change in the

individual. For others, it might be useful to consider "booster shots" of the program, to be offered periodically.

One area stands out, however, in how the program might evolve. This basically involves how to more effectively and efficiently bring about the development of the "broader outlook" discussed earlier. It is hypothesized that such a perspective would aid the individual in coping with his appropriate work role. All too often, upon promotion, individuals have difficulty "letting go" of a lower level of work with which they are intimately familiar. Examples of supervisors smothering their subordinates are legend. It is conjectured that controlled conditions can be designed which would serve at least as a catalytic agent in the acquisition of the desired bigger picture. And that this bigger picture should in turn facilitate confidence in handling greater role complexity. Thus, it should be possible to reduce the role of "significant emotional experiences" dealt out by the real world in elevating one's perspective and sharpening one's focus. It might be possible to at least partially reproduce the elements of real world traumas which seem to contribute so much to major changes in viewpoint. If properly harnessed, the necessary powerful "messages" could be delivered with more constructive and more predictable outcomes, and without periods of wasteful disorientation and even alienation.

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**APPENDIX A**

CENTER FOR CREATIVE LEADERSHIP (CCL)  
LEADERSHIP DEVELOPMENT PROGRAM EVALUATION QUESTIONNAIRE

Privacy Act Statement. Public Law 93-573, called the Privacy Act of 1974, requires that you be informed of the purpose and uses to be made of the information that is collected. The Department of the Army may collect information requested in this Survey under the authority of 10 United States Code 137. The Army Research Institute, under the guidance of the Office of the Deputy Chief of Staff for Personnel, has the primary responsibilities in this research and analysis.

Providing information in this questionnaire is voluntary. There are no penalties for declining to participate in whole or in part. The information you give will be kept strictly confidential. All identifiable information will be used only by persons engaged in and for the purposes of the Survey. Reports will only present information in summary form. Thank you for your cooperation.

Instructions. You recently participated in the Leadership Development Program (LDP) conducted by the Center for Creative Leadership, designed to provide extensive assessment and feedback on personal and professional strengths and weaknesses. This questionnaire will aid in the evaluation of the LDP Program, and thus will aid in decision-making about the future utility of the Program to the US Army. The questionnaire is divided into three parts. In Part I we would like your reactions to the major elements of the program as to their value in terms of your development. Part II asks for longer term behavioral changes that you have noted in yourself that you can attribute to the LDP. In Part III we would appreciate your input concerning how the Army might better utilize the LDP Program.

PART I

1.0 The major elements of the LDP are listed below. Please rate each according to the following scale:

4. Excellent    3. Good    2. Neutral    1. Poor    0. No value

1.1 \_\_\_\_\_ Decision Making

1.2 \_\_\_\_\_ Situational Leadership

1.3 \_\_\_\_\_ Utilizing Group Resources

1.4 \_\_\_\_\_ Innovative Problem Solving

1.5 \_\_\_\_\_ Presentation and Preparation for Goal Setting

1.6 \_\_\_\_\_ Goal Setting Activities

1.7 \_\_\_\_\_ Presentation on Feedback

1.8 \_\_\_\_\_ Peer Feedback

1.9 \_\_\_\_\_ Staff Feedback

1.10 \_\_\_\_\_ Assessment Activities

## PART II

2.0 To what extent do you feel the LDP has improved your abilities in those areas outlined below.

4. Very Much    3. Much    2. Somewhat    1. Little    0. No Improvement  
Improved      Improved      Improved      Improved      in Ability  
Ability       Ability       Ability       Ability

2.1 \_\_\_\_ to set and achieve work goals.

2.2 \_\_\_\_ to set and achieve personal goals.

2.3 \_\_\_\_ to listen

2.4 \_\_\_\_ to communicate

2.5 \_\_\_\_ to generate creative solutions

2.6 \_\_\_\_ to receive and use negative feedback

2.7 \_\_\_\_ to delegate effectively and appropriately.

2.8 \_\_\_\_ to manage subordinates

2.9 \_\_\_\_ to balance work and personal life.

2.10 \_\_\_\_ to give positive feedback.

2.11 \_\_\_\_ to give negative feedback.

2.12 \_\_\_\_ to use groups in decision making.

2.13 \_\_\_\_ to facilitate group discussion.

2.14 \_\_\_\_ to draw people out in groups.

2.15 \_\_\_\_ to resolve conflict in groups.

2.16 \_\_\_\_ to promote teamwork in groups.

2.17 \_\_\_\_ to be assertive

2.18 \_\_\_\_ to be self confident

3.0 To what extent do you feel the LDP has increased your self insights in those areas outlined below.

4. Very Much Improved Insights into	3. Much Improved Insights into	2. Somewhat Improved Insights into	1. Little Improved Insights into	0. No Improvement in Insights into
-------------------------------------	--------------------------------	------------------------------------	----------------------------------	------------------------------------

3.1 strengths as a person.

3.2 weaknesses as a person.

3.3 strengths as a manager.

3.4 weaknesses as a manager.

3.5 how others perceive me.

3.6 my individual needs.

3.7 my individual motivations.

3.8 others' needs.

3.9 others' motivations.

3.10 my career in the Army.

3.11 my relationship to the Army

3.12 relationships with others in general.

### PART III

3.0 Do you feel that that the CCL LDP was sufficiently worthwhile to you to justify the Army investment of \$3000 and at least a week away from the job?

Yes                      Uncertain                      No

4.1 Do you have any alternatives to suggest?

Yes                      No

4.1.1 If yes, what? \_\_\_\_\_

4.1.2 Why? \_\_\_\_\_

4.2 Have you had prior experiences in similar courses?

Yes                      No

4.2.1 If so, what? \_\_\_\_\_

4.3 At what point in an officer's career is it most crucial that he or she take the LDP?

01    02    03    04    05    06    GO    N/A

4.4 Are there other career points at which LDP would be beneficial?

01    02    03    04    05    06    GO    N/A

4.5 How much camaraderie was generated in the group which took the LDP?

4. Very Much    3. Much    2. Some    1. Little    0. None  
Camaraderie    Camaraderie    Camaraderie    Camaraderie

4.6 Would you have additional brief remarks which might be useful in assessing the future value of the LDP to the Army?

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**APENDIX B**

## BATTALION COMMANDER CCL INTERVIEW

Privacy Act Statement. Public Law 93-573, called the Privacy Act of 1974, requires that you be informed of the purpose and uses to be made of the information that is collected. The Department of the Army may collect information requested in this Survey under the authority of 10 United States Code 137. The Army Research Institute, under the guidance of the Office of the Deputy Chief of Staff for Personnel, has the primary responsibilities in this research and analysis.

Providing information in this questionnaire is voluntary. There are no penalties for declining to participate in whole or in part. The information you give will be kept strictly confidential. All identifiable information will be used only by persons engaged in and for the purposes of the Survey. Reports will only present information in summary form. Thank you for your cooperation.

1. WHAT ARE YOUR REACTIONS TO THE MAJOR ELEMENTS OF THE LEADERSHIP DEVELOPMENT PROGRAM (LDP) AS TO THEIR VALUE TOWARD YOUR PROFESSIONAL DEVELOPMENT?

\* Decision making

\* Situational Leadership

\* Utilizing group resources

\* Innovative problem solving

\* Presentation and preparation for goal setting

\* Goal setting activities

\* Presentation on feedback

- Peer feedback

- Staff feedback

2. TO AMPLIFY ONE OF THE ISSUES ADDRESSED IN THE QUESTIONNAIRE TO WHICH YOU RESPONDED, DO YOU THINK THE LDP WAS WORTH THE TIME AND EXPENSE? THAT IS, \$3000 AND A WEEK AWAY FROM THE JOB.

AT WHAT POINT OR POINTS SHOULD LDP BE TAKEN, IF ANY, IN AN OFFICER'S CAREER?

3. TO WHAT EXTENT DO YOU FEEL THE LDP INCREASED YOUR SELF INSIGHTS-- THAT IS, HELPED YOU IDENTIFY YOUR STRENGTHS AND WEAKNESSES?

WHAT HAVE YOU DONE WITH THIS INFORMATION?

4. HAVE YOU NOTED ANY LONG TERM BEHAVIORAL CHANGES IN YOURSELF THAT YOU CAN ATTRIBUTE TO THE LDP?

If so, what are they and how have they affected your ability in dealing with the challenges of your current position?

With life, in general?

5. HAVE YOU NOTED OVER THE COURSE OF YOUR CAREER/ADULT LIFE, ANY MAJOR CHANGES IN YOUR OUTLOOK TOWARD THE WORLD, INCLUDING HOW YOU VIEW EVENTS AND/OR PEOPLE?

If so, when did these shifts occur?

What was the nature of the change in perspective?

Did any particular event, experience, or personal association serve to trigger the change in your "world view?"

6. HOW MUCH COACHING/MENTORING/TEACHING DO YOU ENGAGE IN AS A BRIGADE COMMANDER?

Whom do you mentor? Why?

Is the environment conducive to this activity? I.e., is it encouraged or discouraged?

Do you receive mentoring yourself? From whom?

- In what form?

What mentoring have you received in the past?

What was its importance in your development?

**APPENDIX C**

## BATTALION COMMANDER EVALUATION QUESTIONNAIRE (For Brigade Commanders)

Privacy Act Statement. Public Law 93-573, called the Privacy Act of 1974, requires that you be informed of the purpose and uses to be made of the information that is collected. The Department of the Army may collect information requested in this Survey under the authority of 10 United States Code 137. The Army Research Institute, under the guidance of the Office of the Deputy Chief of Staff for Personnel, has the primary responsibilities in this research and analysis.

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Instructions. This questionnaire lists descriptive statements about your immediate subordinate, LTC \_\_\_\_\_, who is a participant in a project designed to evaluate the Leadership Development Program offered by the Center for Creative Leadership. This individual has been identified as a member of the experimental/control group. In an effort to conduct a valid evaluation of the CCL Program, we would very much appreciate your candid answers to the statements below. Note that the statements are worded both positively and negatively, and therefore, it is easy to make someone look either "good" or "bad." This is not the objective. The objective is to tell it like it is, regardless of whether it is "good" or "bad" or some of both. Remember your answers are for research purposes only, and will be handled with the strictest confidence. Record your answers in the spaces to the left of the items according to this scale:

- |                      |             |                              |          |                   |
|----------------------|-------------|------------------------------|----------|-------------------|
| 1. Strongly Disagree | 2. Disagree | 3. Neither Agree or Disagree | 4. Agree | 5. Strongly Agree |
|----------------------|-------------|------------------------------|----------|-------------------|

1 \_\_\_\_ I would want to serve with this officer again.

2 \_\_\_\_ This officer is more a manager than a leader.

3 \_\_\_\_ This officer is technically competent as a battalion level commander.

4 \_\_\_\_ This officer genuinely cares about people.

5 \_\_\_\_ This is an officer with strong personal morals, strength of character, and professional qualities.

6 \_\_\_\_ This officer's ambitions are likely to endanger his troops in combat.

7 \_\_\_\_ This is an officer with the abilities and strength to lead troops professionally in combat.

8 \_\_\_\_ This officer's desire for personal success detracts from readying his unit for combat.

9 \_\_\_\_ This officer should eventually command a brigade.

10. PLEASE CHECK ONE OF THE FOLLOWING DESCRIPTIONS WHICH MOST FAIRLY REPRESENTS THE RATEE:

- 1) PERFORMANCE UP TO US ARMY STANDARDS (Performance with enthusiasm, initiative and the development of new ideas and has generally fulfilled my expectations).
- 2) PERFORMANCE ABOVE US ARMY STANDARDS (Performance that gives evidence of a higher effective level of work than has so far been recognized).
- 3) PERFORMANCE MARGINALLY BELOW US ARMY STANDARDS (Performance that has in some respects fallen short of my expectations).
- 4) PERFORMANCE BELOW US ARMY STANDARDS (Performance at a level which, if continued, would be unacceptable or which suggests that his effective level of work has been over-rated).

**APPENDIX D**

## COMPANY COMMANDER BEHAVIOR DESCRIPTION OF BATTALION COMMANDER

Privacy Act Statement. Public Law 93-573, called the Privacy Act of 1974, requires that you be informed of the purpose and uses to be made of the information that is collected. The Department of the Army may collect information requested in this Survey under the authority of 10 United States Code 137. The Army Research Institute, under the guidance of the Office of the Deputy Chief of Staff for Personnel, has the primary responsibilities in this research and analysis.

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Instructions. This part of the questionnaire lists descriptive behavioral statements about your Immediate Supervisor. For each statement please indicate your perceptions of how frequently your boss displays the behavior described. Note that the statements are worded both negatively and positively, and therefore, it is easy to make him look either "good" or "bad." This is not the objective. The objective is to tell it like it is, regardless of whether it is "good" or "bad" or some of both.

Please record your answers in the spaces to the left of the items according to the following scale:

1. Never    2. Seldom    3. Sometimes    4. Fairly Often    5. Frequently

1       Encourages understanding of points of view of others.

2       Appears ready to sacrifice own self-interest for the good of the group.

3       Exhibits behavior which makes others proud to be associated with the Unit.

4       Eats in the mess hall.

5       Interferes significantly with training to prepare for VIPs.

6       Has a sense of mission which gets transmitted to others.

7       Talks with soldiers and junior NCOs.

8       Shows fear or deep concern that subordinate commanders will make him look bad.

9       Stands up for subordinates when they are right even if it makes him unpopular with superiors.

- 10       Distorts verbal and written reports to make unit look better.
- 11       Demands results on time without due consideration of the capabilities and welfare of the unit.
- 12       Over-supervises (micro-manages) in areas he deems important.
- 13       Counsels company commanders.

FOR THIS SET OF ITEMS, PLEASE USE THE FOLLOWING SCALE:

1. Strongly Disagree    2. Disagree    3. No Opinion    4. Agree    5. Strongly Agree

- 14       Is interested in others as human beings.
- 15       Tells others to do only those things he would also be willing to do.
- 16       Shows genuine concern for the soldier.
- 17       In the field, his personal living conditions are extravagant, and emphasize material comforts.
- 18       Manages well--assigning tasks and standards clearly, with sufficient guidance, providing resources and monitoring performance.
- 19       Knows how to constructively criticize poor performance.
- 20       Gives subordinates the authority to do their jobs and shows trust in their ability.
- 21       Initiates change to enhance his reputation.
- 22       Displays more concern about what the brigade commander and XO may like or dislike than what is right or wrong.
- 23       Contributes to the personal and professional development of subordinates.
- 24       Properly develops, utilizes, and evaluates the chain of command.
- 25       Training, maintenance, and morale are secondary in importance to impressing the brigade commander and VIPs.
- 26       Exhibits an excessive concern for image and an unwillingness to admit mistakes.

- 27 \_\_\_\_\_ Is able to convince the troops that he is deadly serious about the ethical code of the profession and its relation to combat, and by example and other means, tries seriously to ensure they are observed.
- 28 \_\_\_\_\_ Has a will to dissent, to disagree with superiors when the issue is important.
- 29 \_\_\_\_\_ Confuses the military virtue of loyalty to superiors to an extent that it conflicts with a higher sense of loyalty of one's promise, oath or word of honor.

FOR THIS SET OF ITEMS, PLEASE RATE YOUR SUPERVISOR'S ABILITIES ACCORDING TO THE FOLLOWING SCALE:

4. Very Much      3. Much      2. Some      1. Little      0. No  
Ability           Ability       Ability       Ability       Ability

- 30 \_\_\_\_\_ to set and achieve work goals.
- 31 \_\_\_\_\_ to listen.
- 32 \_\_\_\_\_ to communicate.
- 33 \_\_\_\_\_ to generate creative solutions to problems.
- 34 \_\_\_\_\_ to receive and use negative feedback from subordinates.
- 35 \_\_\_\_\_ to delegate effectively and appropriately.
- 36 \_\_\_\_\_ to manage subordinates effectively.
- 37 \_\_\_\_\_ To recognize the need for a balance between work and personal life of subordinates.
- 38 \_\_\_\_\_ to give positive feedback to subordinates in a constructive way.
- 39 \_\_\_\_\_ to give negative feedback to subordinates in a constructive way.
- 40 \_\_\_\_\_ to use groups effectively in decision making.
- 41 \_\_\_\_\_ to facilitate group discussion.
- 42 \_\_\_\_\_ to draw people out in groups so they can make meaningful contributions.
- 43 \_\_\_\_\_ to resolve conflict in the Unit.
- 44 \_\_\_\_\_ to promote teamwork in the Unit.
- 45 \_\_\_\_\_ to be assertive in dealing with problems in the Unit.
- 46 \_\_\_\_\_ to be self confident without being obnoxious.

FOR THIS SET OF ITEMS, PLEASE RATE YOUR SUPERVISOR AS TO HOW WELL YOU BELIEVE HE HAS INSIGHT IN THOSE AREAS OUTLINED BELOW ACCORDING TO THE FOLLOWING SCALE:

4. Very Much Insight into	3. Much Insight into	2. Some Insight into	1. Little Insight into	0. No Insight into
---------------------------------	----------------------------	----------------------------	------------------------------	--------------------------

47 \_\_\_\_\_ strengths as a person.

48 \_\_\_\_\_ weaknesses as a person.

49 \_\_\_\_\_ strengths as a manager.

50 \_\_\_\_\_ weaknesses as a manager.

51 \_\_\_\_\_ how others perceive him.

52 \_\_\_\_\_ his individual needs.

53 \_\_\_\_\_ his individual motivations.

54 \_\_\_\_\_ others' needs.

55 \_\_\_\_\_ others' motivations.

56 \_\_\_\_\_ his career in the Army.

57 \_\_\_\_\_ his relationship to the Army.

58 \_\_\_\_\_ relationships with others in general.

**APPENDIX E**

## BATTALION COMMANDER PERCEPTION OF SUBORDINATE BEHAVIOR DESCRIPTION

Privacy Act Statement. Public Law 93-573, called the Privacy Act of 1974, requires that you be informed of the purpose and uses to be made of the information that is collected. The Department of the Army may collect information requested in this Survey under the authority of 10 United States Code 137. The Army Research Institute, under the guidance of the Office of the Deputy Chief of Staff for Personnel, has the primary responsibilities in this research and analysis.

Providing information in this questionnaire is voluntary. There are no penalties for declining to participate in whole or in part. The information you give will be kept strictly confidential. All identifiable information will be used only by persons engaged in and for the purposes of the Survey. Reports will only present information in summary form. Thank you for your cooperation.

Instructions. This questionnaire lists descriptive behavioral statements about yourself. For each statement please indicate your perceptions of how your Company Commanders might rate you in terms of how frequently you display the behavior. Note that the statements are worded both negatively and positively, and therefore, it is easy to make yourself look either "good" or "bad." This is not the objective. The objective is to tell it like it is, regardless of whether it is "good" or "bad" or some of both. Please record your answers in the spaces to the left of the items according to the following scale:

1. Never    2. Seldom    3. Sometimes    4. Fairly Often    5. Frequently

1       Encourage understanding of points of view of others.

2       Appears ready to sacrifice own self-interest for the good of the group.

3       Exhibits behavior which makes others proud to be associated.

4       Eats in the mess hall.

5       Interferes significantly with training to prepare for VIPs.

6       Has a sense of mission which gets transmitted to others.

7       Talks with soldiers and junior NCOs.

8       Shows fear or deep concern that subordinate commanders will make him look bad.

9       Stands up for subordinates when they are right even if it makes him unpopular with superiors.

10       Distorts verbal and written reports to make unit look better.

11       Demands results on time without due consideration of the capabilities and welfare of the unit.

12       Over-supervises (micro-manage) in areas I deem important.

13       Counsels company commanders.

FOR THIS SET OF ITEMS, PLEASE USE THE FOLLOWING SCALE FOR HOW YOUR SUBORDINATES MIGHT RATE YOU:

1. Strongly Disagree    2. Disagree    3. No Opinion    4. Agree    5. Strongly Agree

- 14       Is interested in others as human beings.
- 15       Tells others to do only those things he would also be willing to do.
- 16       Shows genuine concern for the soldier.
- 17       In the field, his personal living conditions are extravagant, and emphasize material comforts.
- 18       Manages well--assigning tasks and standards clearly, with sufficient guidance, providing resources and monitoring performance.
- 19       Knows how to constructively criticize poor performance.
- 20       Gives subordinates the authority to do their jobs and show trust in their ability.
- 21       Initiates change to enhance his reputation.
- 22       Displays more concern about what the brigade commander and XO may like or dislike than what is right or wrong.
- 23       Contributes to the personal and professional development of subordinates.
- 24       Properly develops, utilizes, and evaluates the chain of command.
- 25       Training, maintenance, and morale are secondary in importance to impressing the brigade commander and VIPs.
- 26       Exhibits and excessive concern for image and an unwillingness to admit mistakes.
- 27       Is able to convince the troops that he is deadly serious about the ethical code of the profession and its relation to combat, and by example and other means, tries seriously to ensure they are observed.
- 28       Has a will to dissent, to disagree with superiors when the issue is important.
- 29       Confuses the military virtue of loyalty to superiors to an extent that it conflicts with a higher sense of loyalty of one's promise, oath or word of honor.

FOR THIS SET OF ITEMS, PLEASE RATE YOUR SUBORDINATES' PERCEPTIONS OF YOUR ABILITIES, ACCORDING TO THE FOLLOWING SCALE:

4. Very Much      3. Much      2. Some      1. Little      0. No  
Ability            Ability           Ability           Ability           Ability

30 \_\_\_\_ to set and achieve work goals.

31 \_\_\_\_ to listen.

32 \_\_\_\_ to communicate.

33 \_\_\_\_ to generate creative solutions to problems.

34 \_\_\_\_ to receive and use negative feedback from subordinates.

35 \_\_\_\_ to delegate effectively and appropriately.

36 \_\_\_\_ to manage subordinates effectively.

37 \_\_\_\_ To recognize the need for a balance between work and personal life of subordinates.

38 \_\_\_\_ to give positive feedback to subordinates in a constructive way.

39 \_\_\_\_ to give negative feedback to subordinates in a constructive way.

40 \_\_\_\_ to use groups effectively in decision making.

41 \_\_\_\_ to facilitate group discussion.

42 \_\_\_\_ to draw people out in groups so they can make meaningful contributions.

43 \_\_\_\_ to resolve conflict in the Unit.

44 \_\_\_\_ to promote teamwork in the Unit.

45 \_\_\_\_ to be assertive in dealing with problems in the Unit.

46 \_\_\_\_ to be self confident without being obnoxious.

FOR THIS SET OF ITEMS, PLEASE RATE YOUR SUBORDINATES' PERCEPTIONS AS TO  
HOW WELL THEY BELIEVE YOU HAVE INSIGHT IN THOSE AREAS OUTLINED BELOW,  
ACCORDING TO THE FOLLOWING SCALE:

4. Very Much Insight into	3. Much Insight into	2. Some Insight into	1. Little Insight into	0. No Insight into
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47 \_\_\_\_\_ strengths as a person.

48 \_\_\_\_\_ weaknesses as a person.

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50 \_\_\_\_\_ weaknesses as a manager.

51 \_\_\_\_\_ how others perceive him.

52 \_\_\_\_\_ his individual needs.

53 \_\_\_\_\_ his individual motivations.

54 \_\_\_\_\_ others' needs.

55 \_\_\_\_\_ others' motivations.

56 \_\_\_\_\_ his career in the Army.

57 \_\_\_\_\_ his relationship to the Army.

58 \_\_\_\_\_ relationships with others in general.



DEPARTMENT OF THE ARMY  
OFFICE OF THE DEPUTY CHIEF OF STAFF FOR PERSONNEL  
WASHINGTON, DC 20310-0300

REPLY TO  
ATTENTION OF

5 September 1985

Leader Policy Division

HHC, Division Support Command  
82d Airborne Division  
Fort Bragg, NC 28307

Dear Lieutenant Colonel

In support of our efforts to use assessment technology, Leader Policy Division, ODCSPER, is conducting a study to evaluate the effectiveness of assessment programs. You have been randomly selected from the FY 86 Principal Lieutenant Colonel Command List as a possible participant in this study.

Your participation in this study is strictly voluntary. I want to assure you that participation in this study will in no way affect the formal evaluation of your performance. Participants will not be identified by name or position in the study, and only aggregate data will be used. Your chain of command to include company commanders will be asked to make independent assessments of your performance. These assessments will be used only for the study, and your raters will not be informed of the details of the study, nor have access to any of the assessments.

I hope that you will participate in this study. The results may have a significant impact on the way the Army prepares officers for command, and thereby improve the Army. Please contact LTC Andy Jackson, Leadership Branch, AV 227-6853/6864 as soon as possible to notify him of your agreement to participate.

Sincerely,

ROBERT M. ELTON  
Lieutenant General, GS  
Deputy Chief of Staff  
for Personnel

ORIGINAL LETTER  
TO ALL 40  
SOLICITING  
VOLUNTEERS



DEPARTMENT OF THE ARMY  
OFFICE OF THE DEPUTY CHIEF OF STAFF FOR PERSONNEL  
WASHINGTON, DC 20310-0300

REPLY TO  
ATTENTION OF

Leader Policy Division

82d Airborne Division  
DISCOM  
Fort Bragg, NC 28307

Dear Colonel

Thank you for volunteering to participate in the experimental assessment of battalion commanders. The study will consist of three steps: First, you will be administered the Career Path Appreciation (CPA) instrument, an interview related to career planning. Second, you will attend a six-day Leadership Development Program at Eckerd College, St. Petersburg, Florida, 10-15 November 1985. You will receive further information and test material from Eckerd College. The workshop is designed to improve leadership skills, increase self-awareness, develop measurable performance goals, and stimulate personal and career growth. Third, independent assessments of your performance will be made during your command tour by your chain of command to include company commanders. I want to reiterate that these assessments will be handled completely confidentially. Researchers from the Army Research Institute will administer and collect these assessments.

Attached at enclosure 1 is an information pamphlet about the Leadership Development Program. We have also arranged directly with Eckerd College for payment of your tuition, which includes meals. At enclosure 2 are your travel orders. They cover your travel and per diem, including billeting. After your trip, please send us a copy of the paid travel voucher.

At enclosure 3 is a questionnaire on the Leadership Development Program. We would be grateful if you would complete it and forward it to us at the end of the course (HQDA, ODCS PER, Attn: DAPE-HRL-L (LTC Jackson), Washington, D.C. 20310-0300). Through collection and evaluation of such information we hope to be able to determine if the Leadership Development Program meets the needs of newly-selected battalion commanders. Your evaluation will be kept in confidence and any reference to it will be made without attribution.

To ensure the validity of the study, I would ask that you not discuss your involvement in the study with your subordinates, peers, or raters. At the completion of the study, after you have completed your command tour, you will be sent a complete report of the findings and results of the study. If

you have any questions, please refer them to LTC Jackson, Leadership Branch,  
AV 227-6853/6864. Thank you again for volunteering to assist us in this  
important undertaking.

Sincerely,



Gerald H. Putman  
Colonel, GS  
Chief, Leader Policy Division

Enclosures

FOLLOW-UP  
LETTER TO  
EXPERIMENTAL  
GROUP



DEPARTMENT OF THE ARMY  
OFFICE OF THE DEPUTY CHIEF OF STAFF FOR PERSONNEL  
WASHINGTON, DC 20310-0300

REPLY TO  
ATTENTION OF

7 OCT 1985

Leader Policy Division

10th Company  
1st Battalion, USAIS  
Fort Benning, GA 31905

Dear Colonel

Thank you for volunteering to participate in the experimental assessment of battalion commanders. The study will consist of two steps: First, you will be administered the Career Path Appreciation (CPA) instrument, an interview related to career planning. Second, independent assessments of your performance will be made during your command tour by your chain of command to include company commanders. I want to reiterate that these assessments will be handled completely confidentially. Researchers from the Army Research Institute will administer and collect these assessments.

To ensure the validity of the study, I would ask that you not discuss your involvement in the study with your subordinates, peers, or raters. At the completion of the study, after you have completed your command tour, you will be sent a complete report of the findings and results of the study. If you have any questions, please refer them to LTC Jackson, Leadership Branch, AVN 227-6853/6864. Thank you again for volunteering to assist us in this important undertaking.

Sincerely,

GERALD H. PUTMAN  
Colonel, GS  
Chief, Leader Policy Division

FOLLOW-UP  
LETTER TO  
CONTROL  
GROUP



DEPARTMENT OF THE ARMY  
OFFICE OF THE DEPUTY CHIEF OF STAFF FOR PERSONNEL  
WASHINGTON, DC 20310-0300

REPLY TO  
ATTENTION OF

Leader Policy Division

Lieutenant Colonel  
Commander  
1st Bn, 16th Inf  
APO New York 09046

Dear Colonel

As you know from previous communications, the Leader Policy Division, ODCS PER, HQDA, in conjunction with the Army Research Institute (ARI) is conducting an evaluation of the Center for Creative Leadership (CCL), Leadership Development Program (LDP) in which you participated last year. A researcher from ARI is now preparing to visit your location to collect data bearing on your CCL experience as it may relate to establishing a leader development program Army-wide. We would also like to get your insights concerning overall Army leader development needs.

ARI's methodology will involve the following elements as components:

-Two questionnaires (Enclosures 1 and 2) to be filled out by you. One addresses a description of your leadership skills and behavior as reviewed by your subordinates'. The second addresses evaluation issues related to your CCL training--its perceived benefits relative to costs, shortfalls, etc. The questionnaires should each take about 15 minutes to complete.

-An interview with you. The interview will accomplish two purposes, allow you to amplify on or provide the rationale for answers you provided on the CCL evaluation questionnaire, and permit exploration in a broader sense of leader development training needs from your perspective.

-A questionnaire to be completed by each of your company commanders. This questionnaire will be similar to the first questionnaire described above. With this instrument, it will be possible to compare perceptions on leadership behavior.

-A questionnaire to be completed by your brigade commander. This questionnaire will also explore your behavior patterns as perceived by your immediate superior.

-An interview will also be conducted with your brigade commander for the purpose of assessing leadership training needs of battalion commanders in general. Its target of focus will not be any particular individual, but rather, battalion commanders with whom the brigade commander is sufficiently familiar to offer useful needs assessments.

It must be emphasized that these data are for descriptive and research purposes only, and accordingly, will be treated in the strictest confidence. The questionnaires and interviews are in no way related to the formal Army evaluation system. These data will be reported only in the aggregate, to allow for comparisons to be made between the performance effectiveness of those who have participated in the CCL LDP versus those who have not.

Sequencing and timing of these activities is planned as follows:

-An ARI researcher will contact you to set up a visit within the next two weeks. The intent of ARI's visit is threefold:

a. Conduct the CCL Evaluation and Leadership Training Needs Assessment interview with you. Approximately two hours should be scheduled to complete this activity. ARI will also collect the CCL questionnaire which was mailed to you in advance during this time and administer and collect the first questionnaire referred to in paragraph 2.

b. Administer the Leadership Behavior Description Questionnaire to the brigade commander and conduct the battalion commander Training Needs Assessment interview. This activity will require from one to two hours of the brigade commander's time.

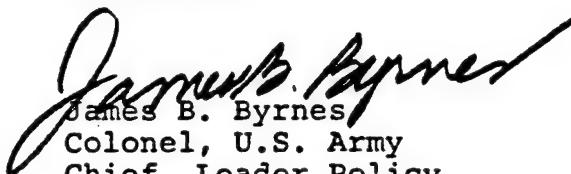
c. ARI will distribute and collect the 15 minute Company Commander Leadership Behavior Description Questionnaires at the beginning of the researchers' visit. It would be highly desirable if this activity could be accomplished with all company commanders in one location to ensure uniformity in understanding of the instructions and guarantee of confidentiality.

Your assistance is needed in establishing and coordinating a schedule for the ARI representative's visit. As indicated previously, an ARI representative will be calling you sometime soon with a tentative date

for his visit. At a subsequent time, ARI will again contact you to reconfirm the tentative schedule which was established.

Please provide a copy of this letter to your brigade commander and familiarize him with the study prior to ARI's visit. Should you have questions about the study in general or the contents of this communication in particular, please contact the LTC(P) Andrew L. Jackson, HQDA (DAPE-HRL), Washington, DC 20310-0300, AV 227-6864/6853.

Sincerely,

  
James B. Byrnes  
Colonel, U.S. Army  
Chief, Leader Policy  
Division

Enclosures



DEPARTMENT OF THE ARMY  
OFFICE OF THE DEPUTY CHIEF OF STAFF FOR PERSONNEL  
WASHINGTON, DC 20310-0300  
June 9, 1987

REPLY TO  
ATTENTION OF

Leader Policy Division

Lieutenant Colonel  
Commander  
1st SQD, 1st CAV, 1st AD  
APO New York 09142

Dear Colonel

As you know from previous communications, the Leader Policy Division, ODCSPER, HQDA, in conjunction with the Army Research Institute (ARI) is conducting an evaluation of the Center for Creative Leadership (CCL), Leadership Development Program (LDP). This is, as you will remember, a program which some of your contemporaries participated in last year. Even though you did not participate in the LDP per se, your willingness to be a part of the overall evaluation is the subject of this communication. ARI is now preparing to visit your location to collect data bearing on your current perceptions of leadership development needs at the battalion command level. We would also like to get your insights concerning overall Army leader development needs.

ARI's methodology will involve the following elements:

-A questionnaire to be filled out by you. This questionnaire addresses your leadership skills and behavior as perceived by your subordinates'. The questionnaire should take about 15 minutes to complete.

-An interview with you. The interview is designed to obtain a sense of leader development training needs from your perspective.

-A questionnaire to be completed by each of your company commanders. This questionnaire will be similar to the one which you are being asked to complete. With this instrument, it will be possible to compare perceptions on leadership behavior.

-A questionnaire to be completed by your brigade commander. This questionnaire will also explore your

behavior patterns as perceived by your immediate superior.

-An interview will also be conducted with your brigade commander for the purpose of assessing leadership training needs of battalion commanders in general. Its target of focus will not be any particular individual, but rather, battalion commanders with whom the brigade commander is sufficiently familiar to offer useful needs assessments.

It must be emphasized that these data are for descriptive and research purposes only and, accordingly, will be treated in the strictest confidence. The questionnaire and interviews are in no way related to the formal Army evaluation system. The data will be reported only in the aggregate, to allow for comparisons to be made between the performance effectiveness of those who have participated in the CCL LDP versus those who have not.

Sequencing and timing of these activities is planned as follows:

-An ARI researcher will contact you to set up a visit within the next two weeks. The intent of ARI's visit is threefold:

a. Conduct the Training Needs Assessment interview with you. Approximately one hour will be required to complete this activity. ARI will also administer and collect the questionnaire referred to in paragraph 2 during this time.

b. Administer the Leadership Behavior Description Questionnaire to the brigade commander and conduct the Battalion Commander Training Needs Assessment interview. This activity will require from one to two hours of the brigade commander's time.

c. ARI will distribute and collect the Company Commander Leadership Behavior Description Questionnaires at the beginning of the researchers visit. It would be highly desirable, if this activity could be accomplished with all company commanders in one location to ensure uniformity in understanding of the instructions and guarantee of confidentiality.

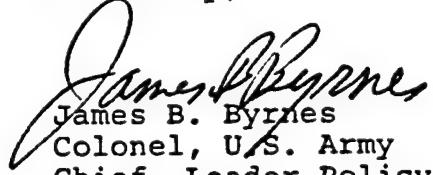
Your assistance is needed in establishing and coordinating a schedule for the ARI representative's

visit. As indicated previously, an ARI representative will be calling you sometime soon with a tentative date for his visit. At a subsequent time, ARI will again contact you to reconfirm the tentative schedule which was established.

An additional copy of this letter has been enclosed for your brigade commander. It is hoped that it will be a useful vehicle for you to introduce the brigade commander to the purpose and methodology of the Study and the participation which is requested of him.

Should you have questions about the Study in general or the contents of this communication in particular, please contact LTC(P) Andrew L. Jackson, HQDA (DAPE-HRL), Washington, DC 20310-0300, AV 227-6864/6853.

Sincerely,



James B. Byrnes  
Colonel, U.S. Army  
Chief, Leader Policy  
Division

Enclosure

**APPENDIX G**

# Executive Development Research Group

## Working Paper 87-06

---

### EXECUTIVE-LEVEL LEADERSHIP QUOTES AND EXAMPLES FROM ARMY LEADERS

BY

KENNETH R. LUCAS

Reviewed By:

Susan C. Hingle

Approved By:

TB Janson

Cleared By:

Darl N. Witten

**Manpower and Personnel Research Laboratory**



**U. S. Army Research Institute  
for the Behavioral and Social Sciences**  
5001 Eisenhower Avenue, Alexandria, VA 22333-5600

---

This working paper is an unofficial document intended for limited distribution to obtain comments. The views, opinions, and/or findings contained in this document are those of the author(s) and should not be construed as the official position of ARI or as an official Department of the Army position, policy, or decision, unless so designated by other official documentation.

## EXECUTIVE-LEVEL LEADERSHIP:

### Quotes and Examples from Army Leaders

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## EXECUTIVE-LEVEL LEADERSHIP:

### Quotes and Examples from Army Leaders

#### INTRODUCTION

Over the past two years, the Executive Development Research Group (EDRG) of the Army Research Institute has identified the tasks, skills, and abilities required of the three- and four-star general officers and civilian equivalents who provide the Army's executive-level leadership. These concepts and requirements have been condensed and presented as DA-PAM 600-80, "Executive Leadership." A special edition of this pamphlet will be used as a text for leadership instruction at the Army War College.

Since earlier leadership texts have not dealt specifically with the requirements of executive leadership, instructors are faced with a dearth of materials to guide classroom discussions. Additionally, the nature of the work and requisite skills at the executive level are complex and cover a spectrum of technical, communication, and cognitive behaviors. These complex concepts can best be illustrated by real-life examples from those who are and have been the Army's executive leaders. The purpose of this volume is to present examples of the key behaviors that distinguish executive-level work.

The primary source of exemplary materials was the large data base of interview responses from the Army's current executives. These direct quotations have been supplemented by excerpts from biographies and oral histories of earlier executives. Since the interviews were conducted under conditions of non-attribution, the quotations are cited only by position and have been edited to protect anonymity. Biographical material and other publicly available sources are presented by name.

The examples of executive-level performance that follow are presented in four sections. The first section looks at the way Army leaders have described the difference between executive leadership and that at other organizational levels. The second presents performance requirements organized to correspond to the major areas of executive responsibility outlined in DA PAM 600-80:

- maintaining the required operating capability to meet worldwide contingencies, including leadership requirements of executive-level battlefield command
- managing the joint and combined lateral relationships with the other Services and with representatives of other countries in both peace and war
- representing the Army in the larger society and managing the relationship between the Army as a component of the nation's total defense force, and the overarching national policy apparatus

Within these broad areas, exemplary quotes are categorized by executive-level skill. However, instructors and others seeking particular examples will find that many of the quotes demonstrate the interrelatedness and complexity of these skills and can be used in a number of illustrative situations.

As an additional aid to both those who are preparing tomorrow's leaders and those who will lead, a third section presents what executives themselves have said about officer development processes, including what they have found to be both positive and negative about their own experiences. This section includes:

- executive leader attributes
- development processes
- mentoring

Finally, biographical excerpts are presented for General George Marshall, an individual who epitomized the most important executive role -- that of integrator. In this section, information is presented in greater detail, and not categorized by executive skill. The intent is to provide an overview of recognized executive capability.

SECTION I  
UNIQUE CHARACTERISTICS OF EXECUTIVE-LEVEL LEADERSHIP

I think there is a major change that takes place in transition from the two to three-star level. There is much more breadth in the three star positions and a greater sensitivity for the international scene. I don't want to imply that commanding troops is not important because I feel that it is. I think the major difference is a growing awareness of the importance of the international roles the US Army finds itself playing.

\*\*\*\* JOINT STAFF (NATO)

The transition from two to three stars is major. It is a shift from operations to policy making. Yet, you must remember the kinds of things you must do to make operational things function. Every once in awhile, you have to go down and energize it and make sure that it is getting done. But, in essence, you have to maintain the top line -- the philosophy behind what you are trying to establish, the basic principle behind certain projects. If you do not, you become a worker, probably a very good one. The point is that you are just another worker and so you might as well have the worker grade -- a two star, one star, colonel or whatever. And, also, you are in their way. In a policy mode, you can provide resources, decision making, and leadership. But you must let the operators operate and give them tasks that are measurable and achievable and give them the resources to get it done.

Another difference that I have found with the shift to three star is that I have difficulty with not enough time. I can't generalize for all three stars, but I find that I never have enough time to get everything done. I try to slice some of it away and let my subordinates make those decisions, but that can create problems of communications. You are responsible, whether or not someone else actually did the work. A trail of communications has to flow from that downward thrust of power, because the one thing you cannot abdicate is the responsibility.

\*\*\* ARMY STAFF

The transition from the two star to three star is really one of greater perspective on the role of the Army in the world, and your function within that greater environment. The other thing that happens is you become more distanced from the soldiers. Those two things in addition to your normal command functions which are not significantly different from the two star level, really mean that time management is critical. Here in Germany I am personally involved in coordinating projects with host government officials. The nature of the politics in Germany are such that I must spend a lot of time presenting our programs to public officials and doing public relations work in order that these programs are not blocked for political reasons. To do that you must understand the political system/parties, the economy, the history of the country. In addition you must have an understanding of the US formal relationships and policies with the host government and in the Alliance. Both the internal process of the host country and the external relations with the US and the rest of the world are constantly evolving and as the Corps commander I must understand all of that. As a division commander here in Germany my role in this process was very small, and I had time to devote to the soldiers.

\*\*\* COMMANDER (CORPS)

I believe the jump from two to three-star is a major jump in terms of responsibilities and the way you must look at the job. I hasten to tell you that if the jump is a normal progression such as from division to corps commander it is much less. When the transition becomes most significant is when the jump is not in a logical progression. From division to corps to USAREUR is a normal transition, but division to DCSOPS is not.

\*\*\*\* CINC

Three and four star generals must have the ability to operate with other services and with other agencies of government. This ability incorporates a much wider skein of services and agencies which have to be mobilized and brought into one's own sphere effectively in order to

succeed. Secondly, at this level you have much broader spans of control, much more complicated organizations with which to work, and far less opportunity to see the results. Not only are you dealing with more complicated organizations, but you become more and more remote from the operative functions and units. Thirdly, there is a much higher premium on political awareness, sensitivity, and skills. You cannot operate effectively as a four star by crashing around with the zest and enthusiasm that one brings to the job as, let us say, a division commander.

I suspect there is a growing premium as one progresses through the three and four star grades on what one might refer to as the ability to motivate large organizations. The basic criteria is you must have the ability to cope with complexity and uncertainty. In other words you don't need everything laid out, you have the resilience and the ingenuity to adapt to new and different circumstances.

\*\*\*\* CINC

I went from a division commander to Chief of Operations and Plans, Department of the Army, and had never had a day in the Joint arena, didn't even know what JCS meant. I spent 6 months of non-productive time for the Army trying to learn while on the job. I could have used a period of self-education. I could have looked at how JCS operates and the way DCSOPS was broken out, visited other services and so on. I don't think you need to do this up to the two star level.

\*\*\*\* CINC

The biggest transition in the officer structure is moving from the two to the three star level, and the reason is you have become elevated above the human. You are no longer just an ordinary human being; you are something else. People do not want to talk to you anymore. You have too much power. They don't know what to say to you; you make them nervous. It becomes perhaps the one most salient experience of becoming a three star and a corps commander -- the tremendous difficulty of finding out what is going on and what people are trying to tell me, or not tell me.

I suppose it is because the higher up you go, the more bearers of bad news you execute. I did an article recently on questions you should ask yourself, and one of them is, "How many messengers have you shot recently?" You do this unconsciously, maybe, but you shoot the messengers, and then there aren't any messengers left, and that is the problem.

So, I am constantly looking for feedback, and you have to find it in a lot of different ways. It's a lot harder, but it is the most vital thing I can have. I am always trying to find ways to elicit information. I also have to be careful of what I ask for. They say you are what you eat. Well, what kind of information you eat is also what you are, and it is also what everybody else is. You can distort the picture, you can create what you want to create out there just by the information and the feedback that you ask for.

\*\*\* COMMANDER (CORPS)

Once you get out of the two star level, you are beginning to deal with entities within your cognizance, in your sphere of operations, who are stovepiped back to organisms outside of the theater, that are actually taking tasking or are responding to direction from some other three or four star who is doing his thing, possibly quite independently, if you are not very concerted with what you are doing you must prepare for and deal with it and move on. The ability of the cooperating entity to flat refuse to cooperate increases with rank. Although a person presumably has higher rank and more authority, the entities are less clearly subordinated to you, so your ability to be able to do it by fiat goes down which some find hard to swallow and deal with. You must learn to deal with this by co-opting your opposition, by getting them to accept your goals as their goals, to see their role as being supportive of achieving a mission that we both recognize or accept as what ought to be done. I am trying to get them to anticipate my needs and posture themselves to be responsive to those needs as opposed to pursuing their own ethic or logic or doctrine.

\*\*\*\* CINC

I came from commanding an armor division in Europe, the most conventional ground mission to this Command three days later, to the most unconventional military mission in the world. There was no preparation, I took command Sunday evening at 4 o'clock and Monday morning bright and early, the US delegation led by the Vice President of the United States and hundreds of other people in delegations from all over the hemisphere for the ceremonial implementation of the ----- Treaty. And no one was quite sure that there were not going to be mass riots, people tearing through the ----- and all that sort of thing. Immediately there after I was busily engaged in implementing the new treaty in a way on the defense side, to try to assure that we establish appropriate precedence to be serving our interests well for the next 20 years. Cooperating with the embassy responsible for the implementation of the political side. I just say that is not really the way to prepare the guy who is supposed to be in charge of all of this. There should have least been an opportunity to stop somewhere and find out what the hell had been going on here for the previous 10 years.

\*\*\* CINC

The problems that two stars grapple with are more immediate and relatively short term compared with the problems the guy at the three star level is working with. It is not a question of remoteness in an organizational or operational sense. It is a question of time. There is a real lag between the time the three star decides to do something and the time tangible results appear. The four star time lag is even greater because of the increased complexity, lag, and remoteness at this level. The higher ranking people have to have a time horizon that goes much further out. The four star guy, if he is doing what is expected of him, is taking as long a view as he can project. He should be trying to get enough sensing to be able to anticipate the future much further out.

\*\*\*\* CINC

It became clear to me that at the age of 58, I would have to learn new tricks that were not taught in the military manuals or on the battlefield. In this position I am a political soldier and will have to put my training in rapping out orders and making snap decisions on the back burner, and have to learn the arts of persuasion and guile. I now understand even the most straightforward request by the Army must go through a whole rigamarole of lobbying, congressional hearings, deals and quid pro quos. I must become an expert in a whole new set of skills.

\*\*\*\*\* GEORGE MARSHALL

SECTION II  
EXECUTIVE LEADERSHIP BY MAJOR AREA OF RESPONSIBILITY

MAINTAINING CURRENT AND FUTURE OPERATING CAPABILITY

Envisioning/Anticipating

At this level there is a great premium on anticipation. If I'm not drawing on my experiences and an intuitive sense of understanding of the situation, then I'm not functioning as a four star. One of my first requirements is to be good at anticipating. Number two is that at the four star level, if I am anticipating right, I can shape issues, rather than issues shaping me. When anticipating I have to have an intuitive judgment that says, these are things that are important. The anticipation and shaping issues is what this job is all about. Understanding clearly where I want to go, and making sure it is well understood by the staff. Not only understanding that, but being able to articulate it. And then maintaining the pressure. If it is worth my involvement, then it is very important to me to not start something and then fall off. Finally I would hope that I would be dealing with issues that sell themselves and that I don't have to spend a lot of time kicking them down the street. If it is not a seller and there seems to be resistance, then I need to reevaluate the idea.

\*\*\*\* MACOM

The biggest mistake that I could make in this job would be to mis-read the warnings. The Egyptians obtained total surprise when they jumped in 1973, in spite of the fact that Egypt and Israel were sitting eyeball to eyeball across the canal for 2 1/2 years. How much more can the Soviets do that to us when we are not in eyeball contact and have only eavesdropping methods? That is the most vulnerable place; a mistake in the way we read, report, and interpret could have far-reaching consequences.

\*\*\*\* CINC

There is an urgent need to explore the Army's rules and goals in space and then to integrate them into doctrine, plans, and programs. Nowhere is the need for joint force initiatives more evident. All the services are in the process of reexamining their future commitments and roles in space. The aim is to identify space-related requirements, measure our capacities to meet them and jointly determine a division of effort. The Army's space management structure already includes a dedicated office, a senior guidance council and a special study group whose goal is the development of a near-term space master plan. As the proponent for ground-based missile defense, the Army has a central role to play in the conduct of those studies which hold center stage in the President's strategic defense initiative. The key issues involve technological feasibility, cost and impact on arms control. At the same time, there is a space dimension to the imperative of AirLand Battle. The road map drawn today by our best minds will be used to mark our progress in this vital dimension for years to come.

\*\*\* ARMY STAFF

In the area of combat developments, looking at what we should be doing for the next generation is something I feel I owe my successors. I am talking about such things as a program at Fort Knox on jump-ahead technology for the tank that comes after the M-1. At the Infantry school, what do you want to do about looking at something beyond the Bradley? One way to do better is take the Battlefield Development Plan and truly mature it into a useful document. We need to make that document useful by describing the deficiencies in each functional area, and they generally relate to each school, and then ensuring that each school develops a plan for attacking those deficiencies with a prioritized set of needs. Then we sit down with AMC and put it into a long-range RDA plan that begins to get funding. You then have a logic to the process that hopefully will stay and build each year as you are able to take in a new development.

That is a long-term proposition, but terribly important to get institutionalized. When I say long-term, I am talking five to ten years. Most of the two-year things are already in the program. The five

to ten year things include the POM, the EPA, the start of the 6-1 and 6-2 R&D programs that get at what advantage technology can give you, and weapons against what we postulate the threat to be.

\*\*\*\* COMMANDER (MACOM)

I must deal with a 20-year time span. It takes anywhere from eight to 17 years to bring a weapons system just through research. With the obsolescence that takes place during that period of time, you are talking about several cycles of technology development. I wish I could tell you that the Patriot is being fielded today with today's technology. I didn't say "tomorrow's." I would rather field it with tomorrow's. However, instead, part of it is going to be yesterday's.

\*\*\*\* COMMANDER (MACOM)

The Army is thinking well beyond the M1-series of tanks and the M2-M3 fighting vehicles. We are conducting a major study effort to determine a concept for a family of future armored combat vehicles. This family will provide the edge in both heavy and light concepts by incorporating the latest technology in protection, sensors, fire control, weapons, propulsion system, manufacturing techniques, diagnostics, suspension and most important of all MANPRINT (manpower, personnel integration). The research and development starting in the late 80s will support our needs well beyond the year 2000.

\*\*\* ARMY STAFF

I think there is an environment that you would like to capture as a way to do business. We here today have to be looking out a minimum of five years. We have to be shaping, resourcing, building for our successors. We have to picture the scene five years from now, and then start the process of putting it in place, and having it materialize. It is never on your watch, and this is a very frustrating aspect. Five is really what you are looking for. Maybe ten in some cases, like long-term force planning. It's an attitude you have to instill--that satisfaction

is not built on your watch; satisfaction is two commanders from you. What is done at my level really does not get clarified until it gets to the Department of the Army and the Chief of Staff makes a decision about the future. There the projection is further into the future. However, when I am envisioning about mission I, too, project into the future.

\*\*\*\* COMMANDER (MACOM)

I don't know what the world is going to look like 20 years from now, but I think that unless we start on it, it is going to shape us and we're not going to shape it. I want to think out 20 to 25 years looking at the evolution of the battlefield. We can start shaping our concepts and looking at where technology ought to be putting its money in terms of systems. We also need to project what we need to do from a leader standpoint to shape that battlefield 15 or 20 years from now. We are looking into what technology will do out there in terms of teaching, what we ought to be grabbing hold of now. It needs to be tied back to Air Land Battle Doctrine. We have to be sure that our technology, teaching, and training keep up.

\*\*\* COMMANDER (TDA)

I could become inundated with minutia if I allowed it, and not produce a thing. We have to keep the time to stretch out and look at the future, to see what is making the changes.

\*\*\* JOINT STAFF

The next major task that I see is looking down range 15 years, and taking stock of two sides of potential conflict. One is the Soviets and whatever technological capabilities we estimate they'll have in 15 years. And secondly, looking at the so-called Third World, the lower intensity side of the business, 15 years down range, and making sense of both the threat and technological innovations.

What technologies will exist more robustly 15 years from now than we see them today? One of those might be directed energy. Therefore, to

what extent will that cause difficulties in battle tactics? We'll be estimating the threat situation in the year 2003, and asking do we have to change our tactics, or techniques or strategies?

Then I'll have to put the doctrine together and get it codified. From that will evolve our own equipment changes that need to be put into the hopper to come out in the year 2003. This futuristic view or looking ahead is absolutely essential if we are going to stay a first class war-fighting power.

\*\*\*\* COMMANDER (MACOM)

#### Envisioning/Anticipating on the Battlefield

The difference between division and corps is the way you see time on the battlefield -- time and distance factors... It's the way you do your planning; it's what battle you think you are fighting. You are fighting the rear battle, the close in battle, and the deep battle, but not the "now" battle. Those are going on now, but the one you are fighting is 36 hours out at a minimum. It is very hard to focus on that, especially when those other battles are raging.

\*\*\* COMMANDER (CORPS)

At the battalion level, one is looking out about two years. At the division level we have a systematic plan for five years into the future. In a combat situation, a division commander is thinking about tomorrow and the next day, and trying to shape the battle for five or six days. Days take on the significance of years. It's tough to make the transition. I think one of the key events between brigadier and major general is that time transition. It's not really a compression of time. What it really says to you is that you have less contact with now. In combat, a good commander and his staff are in the same mode--anticipating. At each command level as you go higher, you are shaping, you are calling the shots, and you have to be looking out to ten days or two weeks and extrapolating.

\*\*\*\* COMMANDER (MACOM)

## Mission and Goal Setting

I am a believer in establishing goals for an organization. Goals must be developed collectively with your key leaders. Of course the commander will always have in mind those goals that he believes important for the organization. It is necessary to establish the goals early and to get a group around you who are supporters, you have to lay out for them your focus in order for them to go ahead and work the goals.

When I assumed command of this organization I had a session with my principal leaders and together we begin working out a clear and concise statement of our mission. From that flows the goals. We spent a lot time figuring out what that definition ought to be. Early in the session I said I ought to tell you guys what my priorities are. The commander must set the focus. I stated my priorities as: a positive leadership atmosphere; I want to truly care for the officers, enlisted, civilians and their families; and then training, doctrine and force integration. From that came the values: caring, fulfilling, responsive, purposeful, and focused.

It took us a day and a half to set those goals. We went through individual values and organizational values and set the goals, described the mission. We went through the details of what each goal ought to say, carefully looked at the words, cleaned it up, and finally published it. They were sent to all of my subordinate commanders with a short letter which said, "These are the goals that we are marching to." Every officer, NCO and GS 7 and above get a copy of the goals and values. It is particularly important in this command with its transient nature, to insure that everyone immediately understands the focus of the organization.

We have a common focus in term of doctrine, training, force integration, leader development and caring. If we have done this well and set the right goals for the organization and if we have imbeded those goals in the organization and everyone understands them and we are developing objectives around them and end products around them then the truth of our success will be felt five years from now.

\*\*\* COMMANDER (TDA)

We just have to better organize ourselves, assign goals and objectives in that logical sense, and execute our programs. Having said all that, you are still going to get flak about the pieces, because when a tank runs into a problem, the tank makes the headlines, not the support aspects of it. It becomes the cause of the day, so you orient yourself back to a reactive mode, not even a responsive mode. It is reactive management, rather than responsive management or proactive management. You are going to be pulled down that spectrum each time. The problem is that you should anticipate and expect that, be prepared for it, and solve it with the most speed that you can, and then jump back up the curve again, and get on with the business of tomorrow.

\*\*\*\* COMMANDER (MACOM)

The most important thing in my mind coming to this position was to continue a command climate that had improved immeasurably in my perception from the time I left here until the time I returned, that span of time was four years. The commander that was involved in that four years had taken what was a very difficult climate and changed it into a very favorable one. So the first objective was to make sure that we maintained that favorable climate. The second thing was to establish in the Army in ----- a set of goals and objectives that would look at approximately a ten year period of time and be reasonably achievable over the 10 year period and to establish them with participation by the major subordinate commands so that they would feel that they were fitting into a niche that was reasonably comfortable. The third was a philosophical change. There has been a long standing feeling that we were not sufficiently structured for war. I felt that was the wrong concept and needed changing. The concept ought to be that our mission is not to fight a war but to deter one, and the best way to deter is to create the problem in the other guy's mind. That means you need combat flags, because that is what he carries. As a corollary to keeping the flags raised in -----, we live here in peacetime, and we ought to do everything possible to fix the places where we live, work and play. That too sends the signal of determination.

\*\*\*\* CINC

## Establishing and Monitoring Values/Climate

Good command climate is the very foundation of everything else within an organization. Essential to a good command climate is that the proper environment has been set by the senior commander. That is my job. It does not matter how good a command climate that a battalion commander creates. If he is not in an organization where the general supports him, he is helpless. The general must create the proper environment. He creates this environment in a number of ways. First, by recognizing that you cannot walk into an organization and mold it overnight. If there is something that really needs to be changed, obviously, you need to change it. But you do not change everything just to make a name for yourself. If you show yourself as someone who is just to make a name for yourself, you have just lost the ballgame. Second, you have to bring your principal leaders together and tell them your philosophy in detail. Then you have to repeat that philosophy continuously until it becomes embedded throughout the organization. And third, you must prove to them that you believe in and live by your philosophy. You have to prove that you are the kind of guy who will underwrite their failures. This must be done carefully because it is very fragile. -The first time you do something that runs counter to your philosophy, it will impact and be magnified immediately. You must avoid the temptation to really play around with the subordinate commanders' prerogatives, even to the degree of giving them a little more rope in some areas. And you have to be careful not to appear to be reactive, because a general who immediately reacts in an explosive, violent way when something goes wrong will not be believed.

For example, if you have a safety program and have made it a priority not to have the soldiers hurt, and some soldier is run over by a truck, you do not call in his commander and land all over him. Even if you do not raise your voice or exhibit any temper regarding the subject, even if you talk with him calmly, you are going to make that commander think, "he is not giving me any elbow room." He just does not understand that some things happen by the will of God, and I cannot control these things. You find out why, from a supervisory standpoint, the soldier was killed, and you must be very slow to act in terms of putting that commander on the defensive. If you just chew him out, he immediately begins to find some

defensive mechanisms rather than internalizing the problem and going directly after it to solve it and make the solution final. He loses the energy and impetus to put his entire soul and fiber into solving the problem because he will be too busy building defense mechanisms.

If you do not handle problems correctly, particularly as a general, you will not generate the kind of command environment that is absolutely essential. You have to be sensitized twenty-four hours a day, seven days a week, about everything that you say and do that may be viewed by your subordinate commanders as somehow undermining all these great and glorious things you are saying about command climate. You have to bite your tongue sometimes. If a mistake happens again and again, then about the second or third time, say, remember I told you you can make mistakes, but not the same ones over and over again, and you just made the same one three times. I am down here to tell you not to make that mistake again. They understand that. It is very easy to talk about all of this but it is very hard to do. There are risks involved.

\*\*\* DCG (MACOM)

You must have a system for sensing how things really are at the lowest level of the organization. At each higher echelon it becomes more and more difficult to know how things are perceived at the lower levels. I set the tone for the command climate, then I have to rely on a whole series of sensors, the chain of command, chaplain, lawyer, CSM, inspection reports, IG officers -- all possible sensors, policies, procedures and regulations. These climate sensors are out there testing, pushing my positions, having a helpful, supportive attitude, trying to make the weakest link strong. I expect them to come back and give me a feel for certain areas. But I also must go out there and get first hand observation and a sensing myself. But you must be very careful with the inferences you draw from your own observations. To a degree the climate that you see sometimes is going to be tweaked by your being there. You are going to have to spend time to see a cross-section. You cannot judge by happenstance. You have to draw from all aspects of the situation and you have to test your own sensing with all your other sensors, and then make your evaluation of how things really are within the organization.

\*\*\*\* COMMANDER (MACOM)

One way I have of getting feedback is quantitative. It is not always the right kind of information, but it is one that I find reliable. Another way is to surround myself with people who aren't afraid to tell it like it is. The third way is by going out and looking and talking to three, four, or five levels down. They may be nervous, but they are not awed, and they will tell it like they perceive it. Their perception may not be reality, but then you have two problems: to find reality, and to change their perceptions. The final way is when you decide that something is not going the way you want it to go give orders to fix it. If you have gotten the wrong feedback you will find out awfully quick because your orders won't make any sense. In essence you force people to come back and tell you that you have the wrong bubble.

\*\*\*\* CINC

The higher you go up in any organization, the less you know about what is going on at the bottom. It is simply a function of volume and layer. There is no easy fix, but the best one I have found which I used at the division level was a series of get togethers with the various command levels. Once a month I met with the brigade commanders and staff, then I met with battalion commanders and staff without the brigade command level, and then I met with the company commanders without the battalion commanders present. You have to be careful and approach this with trepidation because there is risk involved. I was always circumspect about never keeping secret any thing that happened in those meetings and passed information up to the next echelon of command. I always keep minutes (not who said what but issues raised) and this record was used to keep track of decisions and actions taken. I found it had a salutary effect. The commanders down the chain knew I was interested in their problems and cared about what they were doing and there was a message to the brigade and battalion commanders not to hide secrets because I would find out sooner or later which meant they kept me informed. During those sessions I would decide whether to take the suggestion, staff it, study it, or I might even reject it. I would recommend this way of getting feedback only if the commander was extremely careful about the feedback mechanism to the commanders between

him and those at the lower level. I found the company commanders were most open with suggestions and ideas on how things could be improved.

\*\*\* CofS (MACOM)

We have a series of command inspections, headed by a general officer, which look at certain things and visit each division. Each quarter, we review all the key statistical and factual data on how each division is executing its program. This includes data on personnel, cost obligations, outlays, execution of programs, and other things that are not as main stream as our construction program, but are important in government today. This is all reviewed in a series of meetings that take place two or three consecutive days every quarter. In addition, I make a number of visits, as do our other key people. We have commanders conferences twice a year in which data are displayed and the division commanders get a chance to comment on why this is good and that is not. If I want to see how the program in Cincinnati is being executed, I do not have to go down there. I can pull it out of our Resource Management Office here and tell you that they are either 3% behind or 4% ahead.

One has to be very careful how he uses the information. Each division has its own character. That makes it very hard to compare divisions. In some areas it is easy to make comparison, but the type of work, the number of projects, and the difficulty of the projects varies from division to division. Also we deal in large amounts of money, and sometimes one contract hold up might be worth 40 or 50 million dollars. This skews the statistics. So you can take no one measure, each division must be seen in its own context and then as it fits into the total organization.

\*\*\* COMMANDER (MACOM)

We have a good team, and I'm just sort of guiding it in a general direction. They, themselves, with more specificity are dealing on a day to day basis and setting very positive directions of how they want things done. I set the tone and then monitor it through a whole series of

sensors, the chaplain, lawyer, CSM, inspection reports, IG officers, all possible sensors, and policies and procedures, regulations. All of these reinforce the chain of command, and reinforce this business of each having his own job at a particular level. All of these play different roles at different levels. As you progress up the ranks, you have to understand the rules change. The league changes. You have to make that transition as you go up the ranks, and you are going to have to be satisfied and seek fulfillment in different ways.

\*\*\*\* COMMANDER (MACOM)

I cannot impress by being the best shot in the organization or by running the longest or the quickest race. My ability to influence by my professional competence in the sense that I have a skill, such as being a tanker or being a good infantryman or a good artilleryman, diminishes the higher I go. I can only impress by my strength of character, my qualities as a person, my ability as an influential and moral leader setting the right moral climate within my organization.

\*\*\* JOINT STAFF

Every commander worth his salt strives for a climate in his unit in which each soldier is anxious to do his best every day. Command climate is the atmosphere or environment created within an organization by a commander and his chain of command through their exercise of leadership. An important aspect is the commander's vision, which can be compared to a map. It is more than just goals and objectives, it represents for the unit the critical path the unit will follow to meet its commitments, maintain a high state of readiness and provide for the welfare of its soldiers. Some commanders set it prematurely with little thought for anything but immediate achievement; others never set it at all, and the unit misses the tremendous impact of their leadership. The command climate is created through the diversity of a commander's leadership styles. The creation of a high-performance command climate requires the full intensity of a leader's skill. When it is approached, the entire unit begins to work with shared and understood goals -- and little frustration.

By assessing climate, the commander charts his progress on the map or "vision." Like an artist who shades a picture to convey a specific feeling, a commander who understands the component parts and nuances of command climate can change the tone of the climate through guidance and direction. Clearly, the commander's challenge is to understand the climate and identify the means to shape it to match the vision.

\*\*\* ARMY STAFF

I think my job is to set the climate for the three stars and all the people who interface with me. I say this because I'm dealing with them and talking about problems in establishing a relationship, an environment with my next commanders. Then they will establish that relationship with the next level down. I'm trying to convey to them that I understand that they have problems to face but I hope that the message is, you set it for the two stars and the two stars for the brigadiers and on down.

\*\*\*\* COMMANDER (MACOM)

What you have to do is establish a aura of command, a command climate, and you do that by the way you act every day. They watch everything you do, "they" being the staff and the commanders. Here, there are no secrets, they know everything. I try to interact with a briefing officer and find out what he's really trying to say. But more importantly than that, I use that kind of thing to let those people attending that briefing to get inside my head, and that is important. Also you need to see for yourself what is going on. First of all you have to have a strong chain of command and you got to believe in it. You've got Inspector Generals, the Army Audit Agency, the GAOs and informal channels to get information back to you, but you also need to go out and talk to people yourself. The way I generally find out if my guidance is getting down is to go talk to people several echelons below myself.

My yardstick for understanding, for seeing that it permeated down into the non-commissioned officer corps is, if the senior

non-commissioned officers could articulate the philosophy, then I knew it was getting down. They wouldn't say it the same way a colonel would, but the philosophy is what you are after.

\*\*\*\* CINC

Command climate is very important and the good ones have some things in common, including being absolutely yourself, absolutely sincere and honest, having the ability to say to the three stars, "You screwed up; don't do that again." I think an honest acknowledgment that you really don't know everything, but you are sincerely seeking assistance and help is the most important. That needs to be throughout the whole system.

\*\*\*\* COMMANDER (MACOM)

It's a philosophy. I believe that loyalty is a two-way street. My criticism of some of my friends in the general officer corps is that they expect loyalty from those beneath them, but they do not operate in the same way when they go up the chain. We are all just so enamored of our own ability, so to speak. We think we know more about it than any one else.

As a general statement, climate comes back to caring. It does no good for four stars or three stars or anyone else to say that you love soldiers unless soldiers perceive it, unless there are tangible manifestations of that caring. In the end, it will come home to you one way or another if they don't believe in you.

I would say to anyone who aspires to lead American soldiers "Find a way to test yourself every day to see that the soldiers do in fact think that you care." When they believe you, things get easy and you realize once again that the nation is secure. The best you can do is what you think is right every day and take good care of your soldiers and in the end, you will be all right. It won't matter whether you retire as a lieutenant-colonel or colonel or a four star general.

\*\*\*\* CINC

### Consensus-Building/Networking

As a general officer, I have a much greater opportunity at working on consensus building. I bring in my subordinates in a "let's work it out" sort of thing. Sustaining consensus is as important as building it. You know you have consensus early on, but periodically you get your key leaders together and do a check to see if you are sustaining it, an assessment of how well things are working.

I go back and check on sustainment about every three months. I get feedback on how well things are going and it's a chance for the guys to tell me in a very unconstrained and relaxed environment what is going on. I get a pretty good sense of how well the programs are going, where we are making progress, and where we still need some work.

\*\*\* COMMANDER (TDA)

One of the things that I have learned is that as you go higher up in rank your style of leadership must change. In this position I must build consensus with the various adjutant generals with whom I work on a daily basis and that is difficult. This position is much different than a command position where you direct and make decisions, here you are accountable and responsible for getting the job done but you do not have command authority over the adjutant generals. So you must work on consensus building. I use the term "consensus," hoping that, after discussions based on very factual matters, we will agree. However, as I discuss the specifics of readiness with an adjutant general, we may arrive at consensus on the construct of our discussion. We may not have consensus in our thought process. If that is the case, then I will say "I feel, Mr. Adjutant General, that I must be your advocate as part of my responsibilities. While you and I may not agree, based on this consensus, I can go to the Commander and say 'We have had this discussion. Our construct is good, it will stand inspection, and yet here is a disagreement. We need your input."

I must work at processes and constructs to tie my objectives to those of the state adjutant generals. I want very much for there to be this construct and to have it recognized throughout this command. So that as

I go off into the sunset and the adjutant general remains, one of the things that will come from the commander to my successor is that there is this construct operating in the command. If it is in place, the adjutant general will not feel that he has to go through an education process with a new fellow, and another new fellow, and another new fellow.

\*\*\* COMMANDER (MACOM)

If I were to characterize my leadership style, it would be one of consensus. I have always believed that the most successful leaders are those who are try to build consensus. The leader has to get the subordinate to own the decision and then they will do a much better job. I have found that consensus building is important at every level of command but the higher one goes up the chain the more important it becomes. However, the leader building consensus must be able to convey to the subordinates when a matter is no longer negotiable. This means the leader must make the subordinates feel good about themselves, feel that the boss takes care of them, and that the leader considers their point of view.

I commanded a Readiness Region working with the National Guard and Reserve forces. Now that was a position which required consensus to get anything done. Each National Guard state and territory is a kingdom unto itself. If they do not want to do what you ask, they will tell you so and there is not anything you can do about it. I had to use all my non-operational skills to run that command. But it worked and I believe that I have learned to negotiate and build consensus much more effectively as a result of that experience.

\*\*\* ARMY STAFF

I maintain a tremendous informal network which I use when required to build consensus, to scheme and to support projects. I can build a critical mass for consensus very quickly. But, it is equally useful for intelligence, to keep my finger on the pulse on the critical issues. It is even possible to work the system to gather facts to influence decisions at the Chief of Staff and Secretary level.

SES (MACOM)

Externally, I must deal with several individuals. Perhaps three other MACOM commanders are the most important. It is important that I run things by those fellows to get their views, comments and hopefully agreement. If not, then we work for some sort of accommodation, and we do that very well. External to the US and at a higher level, I collaborate with the Chiefs of our allied armies, the British, German, Israeli and French, on requirements for weapons and equipment systems sharing training. At the subordinate external level I make visits to the material labs and to the tactical corps and divisions where we talk about organizational designs and my products. Internally, I maintain close contact with my immediate subordinate commanders. I do this through phone conferences, message exchanges, and visits working out our problems together. This is a continuous process and one that is very important to the organization.

\*\*\*\* COMMANDER (MACOM)

#### Institutionalizing Change

Before coming to this position I made the decision that I was not going to change the organizational structure. Every director in the past had implemented organizational changes. The results were always the same, havoc within the workforce. My approach was to meet off site with my key leaders and work out goals and objectives which would direct us out to the year 1995. We collectively wrote goals, objectives, missions, tasks to be accomplished, and then we assigned responsibility to parts of the agency for the accomplishment of those tasks. These key leaders did the same thing with their respective key people and so on throughout the organization. My purpose was to make sure the workforce, which is 62% civilian, knew what was expected over this period of time to cope with the inevitable changes in the future. Basically, we can anticipate minimal change in the size of the workforce but a dramatic increase in the volume of material that we will have to handle. This means automation.

I really thought this process would minimize the resistance to automation that I saw as necessary for the agency. But we encountered resistance with the forty and over manager/analyst who has always worked with the shoebox or has kept it in his hip pocket. He saw no need for the whipper snapper general to be bringing in a terminal for everybody, and demanding we communicate in a paperless environment. At the same time trying to convince him to take a course and find out what this system can do, and how it will benefit him in terms of time, ability to cope with increasing volumes. It took time and patience to bring that crowd aboard. I am convinced that had I tried to implement these things as my objectives without the co-option of my key leaders, it would never have been accomplished.

\*\*\* JOINT STAFF

It seems to me that you need a long range planning effort that is visionary -- out to 20 or 25 years. No one wants to commit to saying "that is the way it is going to look out there." But if you force a group to philosophize and postulate about what it will be like, it causes dialogue and people will say "well, it is not going to be that way; it's going to be like this." Pretty soon, you arrive at more of a consensus of what that vision might be and it influences what your middle term goals should become. Then, you have to institutionalize it as much as possible so that when the next crowd comes along and changes it, there is still the vestige of what has been created. You institutionalize by putting people and written words together to create a procedure and process that has to be adhered to.

\*\*\*\* CINC

When dealing with subordinates at the top levels, it's like science and art. There are certain things like science; you can give orders and they are carried out. A lot of policies are exactly that; they are directive in nature and that is correct. There are also a number of

things that are art, and those do not get done by orders. You correct the rocket slowly; you do so by persuasion and dialogue so that in time you are all thinking and acting the same way.

\*\*\*\* CINC

In an organization as old and as set in its ways as the Corps, it can be very hard to turn the rudder. You have to really try hard. It takes time, about four years to put into effect those policies that you want to put into effect, to establish your style, your pace, and your tone of command, to accomplish what you want to accomplish. Of course all changes do not take that long. I am talking about institutional changes that will endure long after you are gone, those are the tough ones.

\*\*\* COMMANDER (MACOM)

Somethings the Army can do quickly, somethings the Army cannot do quickly. The Army can organize a hasty attack, or go to defense quickly. The Army is trained to fight quickly. But there are other things, the underlying bedrock, that produces the fighting Army that involves institutionalization of attitudes. That whole process requires time for it to become embedded in the Army so that it is accepted as second nature. There is an education process involved. You have to bring up a whole generation of officers in that system before it manifests itself as a part of the Army as the normal way of doing business. When those things become institutionalized is when you make a difference. Changes in a short period of time, are on only the surface.

AirLand Battle is a good example of implementing change. A significant part of the Army still does not understand it. It is going to take years to institutionalize it into our way of thinking. And just because we do not understand it, does not mean it is a terrible idea. Once something gets embedded in the system, it works very well. An example is the German Army and its sense of institutionalized excellence and they did it correctly. They started slowly, and worked it over decades and decades and produced the finest Army ever seen in World War II. It happened because excellence was institutionalized the right way.

However we have a tendency in the Army to want to change things. Consider installation master plans. A number of installations do not have master plans worth the title because what happens is one guy comes in and wants to paint all the buildings green, and it takes time to get this into the plan, then before the buildings are painted green, another commander comes in and he wants the buildings painted blue. And the next commander wants the buildings painted beige. The result is the buildings never get painted. Instead of officers being trained to look at things objectively and plan to make the organization move along smoothly, they want to make their mark and show the Army how innovative and imaginative they are. They should want to make their mark by haven't the organization run smoothly and function properly in the parameter they have been given.

General officers have to be sensitive enough and smart enough to understand what needs to be changed at that moment, and then do it. Listen to the description of the problem, listen to the proposed solutions and then focus the problem and do not waffle it. Separate those things out, and act upon them. Look at the rest of the things that are working and be less prone to leap in and change things which you really think are good, but are not working quite so well, so you want to try something else. Instead, make some concerted' effort to get those things institutionalized. The Battalion Training Management System (BTMS) has not been institutionalized in the Army. There are a number of senior officers that do not understand it, and many young officers and non-commissioned officers who are not educated yet, but the fact that people do not understand yet, and it is not working quite right yet, does not mean that the system is not good.

Another aspect of this, is the willingness to see something that would be good if it were done, but resisting to do it when you cannot afford it. It takes courage to decide not to do something when it is not practical. Unfortunately, we have become our own worst enemy in some respects with this "can do" attitude. "Can do" is okay, because if you do not have that attitude most people will not perform at the level of which they are capable of unless they are driven to it. Most people have a capacity for doing things far in excess of what they personally think they can do. This attitude of can do is good, particularly in combat it

is what gives you the ability to see tough things to the end. But it can reach a point of where it becomes very bad, and very disruptive. You start saying you can do something when you really cannot. The professional skill and judgment to determine that very fine line between capacity and resolution to get it done, and no capacity is what senior people get paid for.

\*\*\* DCG (MACOM)

### Organizational Structuring

The ability to get a large organization to function with enthusiasm is not a talent that one learns by being the master of smaller organizations. There is a different skein of skills which are as much related to what you do not do. It is what you want to avoid often times that guides you. Some of this has to do with an ability to visualize or to develop an awareness of the organism that one has charge of. The officer must understand or sense how it is put together, and to think through the process of getting this part to move or support his views. There has to be a reaching out to stimulate the isolated gaggles, and to develop new techniques and approaches.

\*\*\*\* CINC

Organizations have a life of their own. It is a moving train, dynamic. If changes are going to be made, you do not stop the train to make the changes, but do the changes by phases. The unit/organization is the matrix which provides stability for growth and development. This matrix capability is very important and as a commander I must understand that it exists and hurry it along as rapidly as I can, but always understanding that it may not be possible to move it along to fast or otherwise it will not be productive.

My goal is to improve our war-fighting capability which means improved readiness. However, readiness is not a simple thing. It much more than the operational readiness status of vehicles. It is more than anything that can be recorded to a statistic. The real heart of

readiness is the capability of the leadership in its war fighting role. I want to build a leadership team that understands the game plan and each other, and is able to lead well in a combat situation. To do so requires behavioral change away from the more traditional, conservative, centralized style of leadership that most Army officers are accustom to a decentralized style. This I believe is a different approach to change because it involves changing people rather than organizations.

Here's an example. We have an organization in the US Army that has been in existence for 12 years and it has been reorganized 10 times. Each new commander changes the organization and creates havoc with the people. A possible explanation for this is that the commanders are dependent upon the organization and not the people to accomplish their goals. The organization did not fit because it was built by a predecessor. It is a cyclic process that goes like this: a new commander walks in assesses the organization and says it is flat, he makes some organizational changes to meet his needs, then when he leaves he is convinced that the organization is perfect. The next commander repeats the cycle.

However the organization really does not change; rather, the individual commander's perception of the unit changes. He believes it to be flat because it is not responsive to him because he is not looking for the people to be responsive. He looks for the machine to be responsive and he develops the machine so that it provides the right statistics back to him. It answers the right questions, the ones he is concerned with at the time. He develops the levers within the machine so he can reach down deep into it to pull these levers to make it happen which takes a year or so. After this, the organization settles down until the next commander comes in with a new set of mental levers and the machine looks out of kilter to him so he repeats the cycle. These type commanders have a distrust of the human being and a great reliance on the machine.

My concern is for the leadership potential of those people who have been victims of that cyclic changing machine. The key is to develop leader thinking skills and that is done through decentralized leadership in an environment that allows mistakes as a process of growth.

The idea is to use the Army as a matrix to build and develop leaders. Everything the Army does should be based on the notion that leaders need to be given experiences which would allow them to develop even further. The real goal of the Army should be to develop leaders who have the capacity to think and make the right decisions essential to winning the war on the decentralized battlefield.

\*\*\* COMMANDER (CORPS)

This is a relatively new organization, formed about 15 years ago. During the first twelve or so years there was no change of mission or growth in areas of responsibilities. During the last few years there has been rapid expansion of both mission and functions. However it was done without any organizational analysis or manpower analysis. Missions were accepted, functions were added, initiatives were begun, people were added, and they were just put in little units which reported directly to my position. As a result when I got here there were some fifteen subordinate organizations reporting directly to me. There was no focal point, no cohesive single focal point for the provision of guidance and policy. I found that there were eight of these organizations doing the same type work without any coordination.

It was apparent that the organization structure had to change. I set about to do that with a goal to simplify the operation. I did this with full knowledge of its potential impact on morale. My system would reduce the number of people reporting directly to me and when you reduce an individual's visibility to you have great potential for some unhappiness. So the challenge was how to make major changes in the organization, yet keep morale high and make people feel like they were still making a contribution to the organization.

The first step was to determine how we did our work. I established a committee represented by each subordinate organization. I presented to the committee and organizational behavior model, a matrix model with the elemental parts of the organization and the way they dealt with each other, an operational model. The matrix is filled out by bringing two involved parties together to sit down and discuss how they dealt with each other. Questions such as: Do I report to you? Am I on your mailing

list? Must you consult with me before you pass papers on? Must I approve it, or may I just note it and pass it on? How do we deal with each other as subordinate organizations within the major organization?

I picked two officers who were in that committee and were very good at negotiating. They were patient and they were innovative and they could help people sort out their difficulties. I gave them the responsibility to fill out the matrix by bringing together the various organizational leaders. Gradually and painfully they filled out the matrix of relationships and responsibilities so that when finished, leaders were in line on what their responsibilities were and what their compatriot's responsibilities were. This took about two months.

Next I worked with the committee and we collectively worked out an organizational structure that would be more efficient and effective and would have focus. That structure is now in place. We reduced the number of individual's reporting directly to me by 50%. We now have a central focal point for each of the functional areas and we created an agency to manage the resource allocations.

I think we have greatly improved the organization and my sensing is we did it with minimum impact on morale. The key was that as the committee worked their way through the organizational matrix model it became clear to them that the old structure was not satisfactory. As consensus was gained in the committee, each of them began to build consensus in their own organizations. The second important ingredient was that we kept everyone informed about what was going on and that no jobs were in danger of being lost.

\*\*\* JOINT STAFF

I am gone over 60 percent to the time out of my headquarters. So I have had to set up an organization that runs in my absence. Every morning, regardless of where I am, by 9 o'clock local time, I get and Intell and Ops and unclassified public affairs briefing. And I get staff one liners from my Chief of Staff. That keeps me abreast of what is going on. We get about 1500 to 2000 messages in a day. That is the traffic. I just got one this morning with a suspense date to the JCS tomorrow. I said I want to see the answer before it goes out. Because again, a lot of people don't have the background that I have on this, particularly my flag officers.

\*\*\* CINC

We would have a wonderful Army if everyone did what they were suppose to do at their own level. In other words, if the captains did the captains' work, and the majors did the majors' work, and the generals did the generals' work. All too often we find that at any level there are generals doing captains' work, and the captains are criticizing what the generals are doing. I think we really have to think about what should be done at each level, and do it at that level.

\*\*\* COMMANDER (TDA)

On 9 May, I approved the creation of a new Army staff agency, the Office of the Assistant Chief of Staff for Information Management, and a new major Army command, as well as the establishment of an information mission area -- important steps to use information technology as a force multiplier.

These decisions integrated the five major disciplines of information -- communications, automation, audiovisual, records management and publications -- across the strategic, theater/tactical and sustainining base areas. This realignment provides the Army with centralized information management and direction and cost-effective support to commanders at all levels. These decisions reflect the Army leadership's commitment to implement technological advances to improve operational efficiency.

By moving from dedicated, independent designed and separate systems to truly integrated and interoperable system, we expect improved operational efficiencies and greater access to the Army's information needs. These integrated systems will provide us with the means to support the Total Army in peacetime, mobilization and war.

\*\*\*\* CSA

I think the worst words in the English language are; "I think the general wants." I could have 800 guys down there working on something that some one has said, "I think the general wants," and I don't want that at all. When I first started going on trips or going to meetings, I would get these tremendous books that the staff spent hundreds of hours preparing filled with fact sheets. Well, I am down to one "bing-bing" what are we going to do about it? What do I need to know about this subject, three words, two sentences, that is it. And I am training my staff to do that now. If you don't watch the staff, somebody will have them drilling away on stuff you don't need.

\*\*\*\* CINC

### Systems Understanding

You have a lot of people who you can assign to particular situations; you do not have a lot of people who understand the total, systemic aspects of bringing all of it to fruition so that you accomplish the end feat. There are not many people who understand system complexities by individual systems, let alone those complexities across the broad spectrum. Management of the holistic aspects is essential. Integration of the entire system, looking across the spectrum of systems to see whether we have our talent placed on the right priorities among the groups of systems. And all of that should be done with a true understanding of how this command operates and how the DA staff operates in a force structure sense. For example, if we bring along a weapons system that is not supportable by the force structure, if we have not considered the human factor of the soldier, we can end up requiring not only the upper

percentile of the soldiers we are recruiting to operate the system, but also the upper percentiles to manage them. Pretty soon we run out of upper percentile soldiers. We have to look at a design in light of the soldier operating it and sustaining it. It's not so much the complication of the technology, but the complication of the task.

\*\*\*\* COMMANDER (MACOM)

We have begun to understand that we must, from the outset, look at the whole system and fit the pieces together, rather than look at the pieces and fit them to the system. We are overwhelmed with data. With the advent of the computer, we know more about our business, of looking in more detail at the total Army rather than just the pieces. It caused people to look across the spectrum, not under functional stovepipes. However, we still have the vertical functional stovepipes.

It is interesting because we built the pyramidal structure in the Army so that it could come together easily, to be organized and synthesized in a holistic fashion across the spectrum at each level and be passed up in an integrated piece. But that doesn't happen. It goes up the functional stovepipes. It is easier to manage the each's, and the day-to-day problems drive you to manage the each's. But you have to be careful and set time aside to manage the whole.

Assume that I have managed the whole and sent up a coordinated package. If it is not going to be protected at the next level, then all the work done at this pyramid has gone for naught, because the next pyramid destroys it. We need integration at each level. If DOD doesn't do that, then it is destroyed again. If Congress doesn't do that, or even understand that in the appropriations, it is destroyed again. I think it is our responsibility to inform them that when they make a decision about a piece of it, then it affects the whole. We have to go back and assert ourselves, or re-balance the account.

\*\*\*\* COMMANDER (MACOM)

I have to have relationships both in and out of the military structure. We work hard at the TRADOC/AMC interface. I try to interrelate everything we are doing at the technology base to mission area deficiencies. We do that on a one-on-one basis between our major subordinate commands and commodity commands and the TRADOC schools or the CDC Centers. Externally I have to stay in contact with industry, with the contractors -- have to find out if they are milking all they can out of the cost of that production line. I need to find out if there are problems with production lines, or with production design itself. I also must find out what their R&D base is doing. Determine how we can better orchestrate so that their R&D work, which we pay for indirectly with government overhead can be better utilized. I need to understand what they are doing and how it relates to future weapons that we will be buying, and so that we are not duplicating it in the Army laboratories. I also need to be able to go back to the designers and say, I cannot stand the inflationary spiral. Change the design, change the material, but drive the cost down to offset inflation. And, do not complicate the design and if you are going to change it, make sure that you do not cause problems systemically.

\*\*\*\* COMMANDER (MACOM)

One example is the automation of our RDA review, and annual AMC-TRADOC-DA process through which we develop our timeliness and investment strategies to meet TRADOC's identified battlefield deficiencies. Software has now been developed to automate this entire process and is configured to the mission area approach and to track specific battlefield deficiencies. Automation is giving us an efficient planning tool for a complex process.

\*\*\*\* COMMANDER (MACOM)

This command has an annual budget of over \$3.8 million to lead, maintain, train and care for soldiers. Training is conducted on over five million acres of land on our 20 major and 29 subinstallations. In this command we have six numbered Army headquarters, three corps, 11

divisions and eight separate brigade sized elements and over 700 smaller units of the active army. In addition, we are accountable for 12 training divisions and 27 separate brigade-sized units of the Army Reserve and responsible for the training of the 9 divisions, 22 brigades and other units of the 54 state and territorial Army National Guards. When fully mobilized, we are a total force manned by approximately 275,000 active component and 700,000 reserve component soldiers and 45,000 civilian employees. Add to these our thousands of weapons, vehicles, aircraft and other persons of equipment that are our tools of war, and it becomes clear that both effective leadership and intensive management are necessary to focus our resources on the broad spectrum of threats.

\*\*\*\*\* COMMANDER (MACOM)

The requirements of logistics are seldom understood. The burden they impose on the responsible military authorities are rarely appreciated. The conflicting demands of our theater commanders, of allied sovereign powers and of the home front, pose difficulties great difficulties. The necessity for a high degree of efficiency on management is evident and it has been found in the coordination of all the various supplies and administrative departments under one command.

\*\*\*\*\* GEORGE MARSHALL

#### Understanding Second Order Effects

I was in an organization once where a letter came out from the general where he said he had a problem of too many tanks being down. He stated that from now on any battalion commander that has more than five tanks down on any given day must explain to him personally why those tanks are down. Guess what happened. He did not have more than five tanks down in any one day in any battalion again. But he really did not solve the problem. It just was no longer reported or people did things to cover it up. He sat back happy and content that he was a good leader,

rather than finding out why the tanks were down, what the systemic problem was. He produced precisely the opposite results that he was trying to obtain.

\*\*\* DCG (MACOM)

The Department of Defense recently made the decision to raise the surcharge cost for eating in the mess hall for all personnel who received payments for separate rations. The decision was based on a desire to turn the dining facility operation a profit making situation and thus have an overall effect of reducing total defense cost. An undesirable aspect of this has taken the officers and non-commissioned officers out of the dining facilities. Traditionally the presence of officers and non-commissioned officers in the dining facilities has contributed to enhanced morale and esprit. The decision also impacted on the various unit level programs which encouraged family night dining once each month as well as the traditional family meal at Thanksgiving and Christmas, all of which were designed to aid in building unit cohesion. All of this occurred at the time the Army's theme for the year was "Caring for Families".

It is absolutely incredible that these type of decisions can be made without full consideration of all the possible consequences. The worst part of this whole surcharge business is that the amount of money now being collected from surcharges is less than the money being formerly collected when the surcharge was smaller. Therefore, in business terms, it is now costing the government more to operate all the dining facilities than it did before.

\*\*\* DCG (MACOM)

### Risk Taking

I briefed the Joint Chiefs on a large plan that would commit my whole force which is just under 300,000 folks. I threw up an assessment: "We are in here for continuing the conceptual idea that we are on the right track. However if certain KEY assumptions in this plan that you have given me do not come about, then I recommend we flow the force to the staging areas, but we don't cross and contact or confront the main

enemy." The then Chairman said, "If we tell you to do something, you're not going to refuse to do it." I said "I am telling you, General, and this body, that if you tell me to do something, and the assumptions that are in this plan enable me to get there on time, and with sufficient force, I will do it. However, I am not going to kill a lot of Americans. I have over 5 years of combat and I have killed my fair share of Americans. If the assumptions are not met, then yes, I am telling you, you shouldn't do it." He almost had a heart attack he turned so red. The Chief of the Air Force said that I was right and the other chiefs agreed -- but that is the type of thing that comes to push or shove. General officers better be willing to stand up and say "Sir, I can't do it", or "You shouldn't tell me to do it for the following reasons." I feel that my job is at stake every day, but I am able to say to myself and the people that work for me, that yes it is worth resigning, retiring, being fired or whatever, than to go ahead with a position that you know is wrong.

\*\*\* CINC

Risk taking is a maximum for those who make it to the top. It takes courage to push further than might be prudent and is very much like gambling. Given a big objective, you develop a strategic approach that will make you win big or lose big. I guess the risk taker would be more willing to go against the odds, counting on some of the immeasurable of his own personal attributes, being able to carry it off. I think the senior general officers I have seen and known are risk takers and it is only the losers who are conservative. The ones I have seen play some pretty dangerous games in this town.

SES (MACOM)

The decisions we have to make in wartime are so great and difficult that there is only one way to do it -- you make the best decision you can, and at the end of the day you don't look back.

\*\*\*\*\* GEORGE MARSHALL

MANAGING JOINT AND COMBINED LATERAL RELATIONSHIPS  
WITH OTHER SERVICES AND REPRESENTATIVES OF OTHER COUNTRIES

Joint Integration

The problems of Joint Combined leadership encompass the entire professional challenge, and I think service leadership tends to focus on a much narrower range of awareness and responsibility. The challenge today, which everyone voices rhetorically but doesn't do much about, is how to integrate all our elements of power: land, sea and air in an effective way. Forty three years after Pearl Harbor we still haven't done that very well.

\*\*\*\* CINC

Divisional level organizations tend to be relatively homogenous and more clearly subordinated than organizations that are given to the three and four star. In some instances at the three and four star level you are dealing with organizational entities which are increasingly amorphous. The degree to which they are subordinate of the law is frequently in question. One has to co-opt support, and from time to time one has to deal with the uncertainty of support or nonsupport from the colleague or the group you are trying to influence. For example, the Corps commander has to work with the Air Force and he has got a whole series of relationships with host nations that go well beyond the division commander.

\*\*\*\* CINC

Many of our officers do not have an appreciation of the difference between unified command and provisioning force, the raising force. I call it the support chain from me to the Chief, to the Secretary of the Army, to the Secretary of Defense to the President. Whereas my operational command is through the CINC, to the Secretary of Defense to

the President. Those serving on the Army staff often get immersed in thinking only army both in terms of providing and operational. I suppose that is the case in all services. They just look at things from an Army perspective: they look down on major commands, major Army commands. They do not look down on unified commands. They are sort of the haze out there. And, yet if the U.S. went to war that is the way we would go to war, in unified commands. That's the way we went to Grenada -- a joint task force. And it will happen that way again. It happened that way in Vietnam -- the operational chain, all the way through, with the services just providing the forces for the operational chain to use.

But there is not enough attention paid to it in peace time. One good example of that is the fielding of the light infantry division. The services do not check with the CINCs on things of direct interest to him before they make a decision. The light infantry decision was made without soliciting the CINCs (at least the non-Army CINCs) and they are the ones that must fight the force. We must think unified and joint in everything that we do to include force structure, equipment modernization and doctrine.

\*\*\* COMMANDER (MACOM)

The lack of interoperability between the services has been and continues to be the largest constraint to joint operations. Central to this problem is the capability of command, control and communications systems. At the upper echelons this becomes less of a problem; however, we frequently find ourselves deploying forces smaller than corps where the inability to interface is the greatest. We have in recent times often deployed forces the size of battalions, brigades and even smaller. These forces must be able to communicate and interoperate with the corresponding elements in the other services to tie the force together. But, we still see the services going their independent ways. For example there is an ongoing acquisition being made by the Army for radios at the battalion and brigade level which states that interoperability with the other service systems is not a requirement. Those of us serving in a joint assignment are obliged to tell all the services that they are doing wrong, when we perceive that they are doing something that is not going

to facilitate interoperability. The problems involve the whole spectrum of interoperability to include the doctrinal basis of tactics, techniques and procedures. To the extent possible the combined standards need to be brought into view, in order to ultimately influence the publication of joint doctrine.

The problem seems to be that we have never looked at the joint problem in a systematic way in system terms. Strategic deployment must be looked at in a systematic way. During a recent exercise it took longer to figure out how to load the ship using template methodology than it took for the same ship to get across the Atlantic. The whole deployment system needs to be automated. But even more important we need to plan into the future as to what type of cargo needs to be moved and then design the sea and air transports accordingly. We do not do that very well. Then in terms of deployment we need to study port facilities, at both ends, in terms of capacity, security and so on. We need to consider the vulnerability of the United States in terms of its transportation, distribution and communications system. These are joint issues that must be attended.

\*\*\* JOINT STAFF

I believe the role of the Army as a national institution is to provide the basis for joint and combined actions in all areas but specifically in coalition warfare. This is not to say that we do not need a strong Navy and Air Force. But the problems with conflict are land problems and all about people and infrastructure on land and so forth. The solution to the kind of problems we face in ----- all have to do with land power. The Army provides the indispensable nucleus for those kinds of plans and operations. We should take the lead.

\*\*\*\* CINC

"Jointness" is vital to success in combat. If we had to go to war tomorrow, we would go jointly. We would go on someone else's ships and on someone else's aircraft. Someone else would "see deep" into the enemy

rear for us when the battle is joined. The Army, by virtue of its business, has to be the most "joint" of the services.

\*\*\*\* CSA

Landpower, as always, is the key, since control of the land, its people and its resources is the ultimate aim in conflict. Effective landpower is achieved not by an army operating in isolation from the other services but by one that fights as an integrated part of a joint force. Land forces rely on naval and air forces for timely movement to the place of conflict, for combat support, for resupply and for the accomplishment of strategic objectives that extend beyond the boundaries of the battlefield. Moreover, our joint forces must be able to perform combined operations with our allies, since virtually any likely combat scenario involving the United States will include coalition partners as well.

\*\*\*\* COMMANDER (MACOM)

This is a very complex command and I have many bosses. If I put on my 8th US Army hat, I report to the Chief of Staff of the Army; if I put on my US Forces Korea hat, I report to Commander In Chief - Pacific; and if I put on my United Nations hat, I report to a committee, which both the Chairman and I are members. So trying to make sure that you do what is right in terms of loyalty and the conflict involved is very great.

\*\*\*\* CINC

### Organizational Structuring

I put this command together. It is unique. In July of 1981, I took over the command. My predecessor had all the problems of command and control. The Joint Staff put a command under a subordinate command and they bypassed the intermediate headquarters. The Pentagon dealt directly with the Command, circumventing the next higher command. When I took command the Secretary of Defense told me and the new commander of my next

immediate headquarters that we may have problems. We both said "No, we won't have any problems because we have worked together for a long time." And we didn't have any problems. Six months later the command became an independent Joint Task Force. Then a little over two years later we became an Unified command. When I took over, we had 265 people in the headquarters; there are now 865.

I am responsible for the US military activities in 19 countries. My permanent force comes under the command of my naval component, which is located in Hawaii. I have a unique command relationship with these two elements. The commander in the area is an Admiral while the component commander is a Commodore. The CNO gave me those ranks through the unified command. I said "that it would be nice if the command rank relationships could be a normal situation, but I understand why they are not. I have no problem. The Commodore and Admiral will have no problem because, if they do, I will fire them both and then you will have to give me new people". And so, we all agreed that there will be no problems.

My Army component commander is the Third US Army, located at Fort McPherson. He is also the Deputy FORSCOM Commander. My Air Force component commander is the Ninth Air Force (three star) at Shaw Air Force Base. And my Marine is the First MAF and the 7th MAB Commander. They are assigned to me for planning only, but I have responsibility, first call if you will, from the Joint Staff on those forces.

Geographically, the majority of my force is located in continental United States. I have General Officers in three countries responsible for the security assistance programs. Defense Attachés of course do not belong to me but all other military personnel in those 19 countries come under my responsibility.

\*\*\* CINC

#### Systems Understanding

We need a systems approach to Joint interface. For example, in Joint Training, there has never been a Joint Training Manager, an overall authority for scheduling joint training. What is needed is a joint training manager that articulates Joint Training Guidance. The objective

is to take what has been called joint training, which in reality duplicated service training, and move it into functional specific training exercises. The first one will be a Joint Tactical Air Exercise. All four service air control systems and air defense systems into an exercise and put them together to make it work. The next functional specific exercise will be a joint intelligence and electronic warfare exercise.

\*\*\*\* CINC

One of the great complications of Joint Command, command of one of the combatant commands is to recognize that the law says services organize, train and equip. And that we fight on a combatant command structure. But, in fact everyone operates. The service departments continue to operate and the unified command structure tries to operate, it all gets mixed up. No one is in charge, because everyone is in charge.

\*\*\*\* CINC

#### Building International Alliances

A person coming into this position must have some prior international experience preferably working with allies. We still have officers who have a hard time presenting a US position without conveying, "There it is, you have got to accept it". We have to develop an understanding of our own foreign policy and the foreign policy of other countries in the minds of our officers. This development should begin at least by the one star level and no later than the two star level.

\*\*\*\* JOINT STAFF (NATO)

A fundamental thing in this whole international environment, nations agreed to give up a measure of their sovereignty when they agreed that their forces would operate under a multinational command, mainly here in NATO. Each nation when it gave up a portion of its sovereignty did so with great reluctance, and with different internal processes and

struggles. You will find one set of rules in Germany and another set in both Holland and Belgium.

\*\*\*\* CINC

The establishment of a logistics line of communications to support the deployed force in wartime will require assistance from the host nation. We have worked for several years with several nations to reach host nation support agreements. Eleven agreements have now been established. We are in continual liaison with the governments of these nations to develop plans and processes to insure that a responsive logistical line of communications will be in place when and if required.

\*\*\* ARMY STAFF

This job has a highly political and diplomatic side. I leave tomorrow for a four nation trip. Visiting with ----- and trying to establish relations for not only the US Army, but for the United States to those nations. These nations are quietly moving toward the United States. They have a real sense of threat from the Soviet Union, and some, because of history, from the -----. All of these are non-aligned, but they are whispering "Please come out. Let's do things together, Send the unit out here to train in my country." I'm doing those things -- Green Berets out to -----, a company to -----. I'm going this month to visit the area where they are operating. I'm not trying to flatter the Army in any way, but I can say that my visits, or the visits of anyone who sits here, are extremely important, even to the point where the US Ambassador gets jealous sometimes -- he literally does. We have to make sure that the United States interests are established with these nations in a sound, mutually agreeable way. There is competition in the ----- for the allegiance of these nations. My job is to ensure that these countries are pro-western.

\*\*\* COMMANDER (MACOM)

I am not the world's greatest diplomat, and I don't intend to be. But I have been accused of being, pardon the expression, a "diplomat" in this job. You have to grow with it and you can't "three up, two back, -- feed 'em a hot meal" in this business. That mentality does not cut it. You are dealing with royalty, you are dealing with other countries, with foreign military or royal princes. You have both the military and the internal hierarchy and you have to know who the hell you are talking to and you have to know what the power is within the country'. I depend on State and the Intelligence Agency to get me that. Every time I go overseas, I get an intensive intelligence briefing on the personalities and the countries. And I get it on a daily basis, not just an update. Who is visiting whom and why? Who is in the area from other countries? When the leaders, in particular political and military leaders, go out of the area, where they are going, what are they going for? Every time one of the leaders goes to Russia or goes to Romania or something like that, I know about it. I track that on a daily basis. I am an instrument of the military but very seldom do I visit a political leader without the ambassador or charge' d' affairs. We have a very good relationship and I want to keep it that way. We work at that. Every ambassador that has gone out there new, we have either gone there or he has been down to my headquarters. When they come back on their annual visits, I personally brief them. I know them. When I am over there I stay with them in their quarters. They entertain us. When they are here I entertain them.

\*\*\*\* CINC

#### Consensus Building

The most difficult task is to gain the other NATO nations approval or acceptance of a US (JCS) initiative. It takes a lot of work. I use persuasion, indirect approaches (gaining support before the formal presentation), asking another nation to sponsor an issue because they would be more acceptable to the Military Committee, by presenting information briefings developed back at the JCS, and by sponsoring visits to US facilities and exercises. For example, we had members from the Military Committee visit the POMCUS sites during REFORGER. They observed

the arrival of the men from the units in the states, the issuance of the equipment, they rode in the new weapons systems we have, and they understand how money from the NATO countries provide the infrastructure for this effort. These visits help us a lot to develop issues and get them passed by the Military Committee.

\*\*\*\* JOINT STAFF (NATO)

This is a complex organization representing 16 different nations. It functions much different than the normal US type staff organization. One first must learn to work in the system. Everything moves very slowly. For example, if I started an action today and followed the NATO rules to process the action it would require six months to a year to coordinate the paper through the country capitols, the military committee and the Defense Planning Group. What this really tells you is that you must be proactive. Unfortunately some of our senior officers do not understand the difficulties of gaining consensus in the NATO arena and the time that is required. Nor do they understand that consensus is not majority but rather total agreement and that is difficult to achieve. As a result there is a tendency to expect very rapid response to a US initiative and when it does not happen to become frustrated. Whereas if the NATO system was understood a quick response would not be anticipated.

\*\*\*\* JOINT STAFF (NATO)

REPRESENTING THE ARMY IN ITS RELATIONSHIP  
WITH THE LARGER SOCIETY AND THE NATIONAL POLICY APPARATUS

My chain for influencing national policy is, of course, through the Chairman. However, I obviously have professional commitments or professional contacts with members of OSD, other governmental agencies, and the Congress and their staffs. We make a point of briefing the staffers. I come to Washington and brief Congressmen, the Vice President, those types of contacts. Some of these have gone over into the personal side, which I obviously cultivate. Because, first, I like them and second, I think it is good for the command.

\*\*\* CINC

We do not do enough public relations work. We tend to concentrate on reacting to bad press, rather than being out front informing the taxpayers of what we are doing. That's one of our most important jobs.

\*\*\* ARMY STAFF

General officers are going to be exposed even in their own service to issues of political/military concern. They are going to be dealing with the public. They are going to have responsibility simply because they are general officers to a far greater degree than they ever have been before. What they say is going to be scrutinized. What they do is going to be scrutinized. We simply do not prepare general officers for that. We give them flags, a pistol, and a couple of weeks of charm school.. It tells them a little bit about some of the things we think they should know, and we send them off to do very, very important things.

\*\*\* JOINT STAFF

To be successful the Army and industry must work together as a team. Each must become knowledgeable of the other. Industry must learn how the Army operates in the field. Its engineers and program managers who

develop systems must be knowledgeable of the Army's operational concepts. Once industry begins to "think Army," it can conceptualize military application of advancing technologies and structure its independent research and development programs accordingly. Increased interaction will broaden industry's understanding of user needs and enhance their ability to develop weapon systems which improve our war-fighting capabilities.

On the other side of the coin, the Army must learn to appreciate the production, limitations and economic constraints that industry is subject to. With this knowledge, we can make intelligent, economical purchases, thereby serving the best interests of industry, the taxpayer and the soldier in the field.

The relationship between the Army and industry must be that of partners, each working to ensure a healthy and vigorous defense preparedness posture for our country.

\*\*\*\*\* COMMANDER (MACOM)

SECTION III  
OFFICER DEVELOPMENT

EXECUTIVE LEADER ATTRIBUTES

I don't think you can short cut training the mind; you need to discipline your mental processes as preparation for thinking on your feet. As one moves into the broader world at higher levels, it is important to have a basis for policy making and decisions. I once had a command of over 33,000 people serving in 14 countries. My mindset was to think in total immersion of all the political ramifications of our activities, and that differed from country to country. But you cannot take a cookie cutter kind of application. I had to set broad general policies that each of my subordinated commanders could fall under and feel comfortable with. I made them think about what all this mess of information means. We thought about the industrial base. How can we change it so that we can surge it? How do you do the academic and the policy?

\*\*\* JOINT STAFF

There are a lot of smart fellows who don't have a great deal of judgment. Those people don't intuitively know that this situation needs attention, or have the ability to make the right call, the judgment, and to make the right call with what you hope would be all of the facts, but you really know are not all the facts.

\*\*\*\* COMMANDER (MACOM)

One of the basic needs of a four-star general and for that matter many of the three stars is, that they must understand the arrangements around the world. Not just of today, but the history of political development in the world's countries. These officers are involved with

the totality of the uniformed military of this country, their interests must be about everything, everywhere, all the time. They need to have a fundamental understanding of the nature of all the forces in the world as well as their own. They need to understand the political and socio-economic structure of the world.

\*\*\* JOINT STAFF

We have to guard against our top leaders being quintessential technicians. I use to watch a lieutenant general on the Army staff who got there at 6:00 a.m. and worked his trade all day until 6:30-7:00 at night, then took two big bags of material home with him that I assumed he worked on at home. He couldn't possibly read foreign affairs, or even the newspaper. He was too focused on his job. I think we need to start preaching against that. I definitely believe that senior officers should keep themselves rather unencumbered so as to think and provide overall vision, directions for people to follow, and not get so involved as technicians. The Navy is must better at this generally, probably more like the British and keep themselves more detached. I once was the Chief of Staff for a CINC (Navy) who said; "Your job is to take care of the day to day work, running the headquarters and keeping things going. My job is to focus on two or three broad subject areas looking out into the future and not to get tied up in today's events. Also, I must have time to read and get involved in understanding foreign affairs." He was an extremely effective commander/leader. He was not a technician, shackled to his paperwork, or those day to day management issues.

\*\*\* COMMANDER (MACOM)

At the division level and up you must understand the time to fight, but at the same time you are forced into another arena and you must understand the political imperatives that greatly modify that work. You understand battalions by looking down, but you can't understand the division in the same way. He may not have the same sort of clarity that I might have, or he may not have all of the issues clearly laid out, but

he ought to be able to understand the major political issues and imperatives, so he can put that needed English in and make that transition to combat. The transition is really a set of increments. As a general officer, I have developed that sense of what is right, that sense of politics. There are certain imperatives that you ought to be able to recognize. If you are the only general officer on the island that has just been attacked, you are the political mayor. I'm not saying that the political arena and military arena are standing out there separately. I'm saying that there are different circumstances for how you get that awareness to think about it politically. But by the time one becomes a corps commander it is a way of life.

\*\*\*\* COMMANDER (MACOM)

I think it is breadth, more than anything else. When I look at a colonel in a brigade, I don't look as much at his performance in that particular job, as I look to see what his breadth is. Is he capable of growing and expanding? If he is not then he is a good colonel; if he is, then he will make a good general officer. There are some brigadiers and ADC's who are good mechanics in staff jobs. But they don't have the capacity to grow beyond that position. There are some who make two stars who should never have made it because they do not have that capacity. I think the difference between a good mechanic and someone with the potential to grow is the ability to look beyond the immediate job and to ask the right questions. They need to be able to see the long term implications for what we are doing now.

\*\*\* COMMANDER (TDA)

There must be a distinct understanding as you get up in the general officer ranks of the impact of your words and the need to select them extra carefully. I find that if you are a free wheeler, you have to hold that tendency because of the impact that you have on the organization. I like the organizational structure; I like to use it. If it is not

functional, then we need to change the organization, but I am not an ad hocker. There is some basis for conflict in an organization, so everyone should be ready to compromise.

\*\*\*\* MACOM

The hardest thing I do is changing gears so many times a day. You've got to have the ability to do that and do it quickly. You go from trying to make resource decisions, tough decisions that affect the lives of soldiers and families, to handshaking and presenting awards, making public speeches and going out to baseball games, and you're right back into the middle of a war plan decision where you're trying to decide the allocation of combat power for war plans, trying to make the hard decisions whether it's better to buy more tanks and let the Russians see more tanks or whether we'd better buy ammunition for the tanks we already have.

\*\*\*\* CINC

You must know yourself very well to be an effective leader and to do it well. There must be no surprises. You must keep your eye on the target; be goal/mission oriented. Each leader must have the capacity to do his own mental housecleaning. You have to check out your own truths; your sense of reality. You have to know that failure is not the ultimate end. As leaders, we make a decision. If it is wrong, we make another one. Life is not static; it changes, and our decisions have to change with it. If we cannot get to that, pride will kill us.

APPOINTED SES

We need all kinds of leadership in the Army. We need Generals who can articulate our position in the Halls of Congress. We need people who have the technical background who can deal with the captains of industry. We need people who can talk to contractors so that we don't get taken to the cleaners. In the end, we always come back to where the

battle is joined, where most of all we need leadership that inspires confidence. I think the single greatest variable in a war is confidence. You show me a person who is in charge of something - I do not care what it is - and if he doesn't have the confidence of those people he is in charge of, nothing good is going to happen.

The hard part is how do you do that? You have to be yourself; you cannot emulate someone that is out of character for you. What I would say is hard for many of us to do, and you can't wait until you are a General Officer level, but you have to do a lot of soul-searching, self-evaluation. You have to strip away your facade and find out what kind of person you really are. After you have been honest with yourself, you will know the things you do really well, and you try to capitalize on those. If you are lacking in certain areas you try to improve those. Improving ones self image will certainly cause that person to increase his confidence level.

You also have to keep in mind the difference between drivership and leadership. We have a military structure called the chain of command. It is conducive to causing a person to be a leader, but at the same time, it can encourage him to be a driver. When you make him a commander with authority, he can issue directives and he drives people instead of leading them. If you are going to be a leader instead of a driver, you have to get into some kind of positive world. We need skeptics, but we do not need an entire officer corps of "Doubting Thomases". My one big quarrel with the United States Military Academy is that it is characterized by negative motivation rather than positive motivation. You cannot tear a young man down and then retrain him without a lot of negative motivation, so young lieutenants have to do a lot of unlearning before they can successfully lead. American soldiers respond most positively to positive motivation.

Another problem with being a "good" general is that you have to be loyal. I hope I am perceived that way, because I want nothing more than to support the Secretary of Defense, the Chairman of the Joint Chiefs, the Chief of Staff of the US Army, the CINC, and all those people with greater overall responsibility than I have. However, there are a lot of conflicts in that, because some of what you see makes you want to do

things that run counter to overall policies. I guess the greatest disloyalty of all would be to not tell the truth, to try to shove it under the table. I guess that is my definition of a useless senior commander. One who doesn't want to make waves, doesn't want to live in a real world. So I just think the whole business of defining a "good" general is very complicated thing. It transcends individuals; we are talking about good senior leadership for an army, a nation.

\*\*\*\* CINC

Attributes of an officer, specifically a general officer: (1) Must understand that you cannot sustain life and mission accomplishment, let alone quality of life, by keeping the accelerator to the floor board. (2) Possess a strategic grasp in a global way. The ability to articulate, to conceptualize policy changes and goals, and strategies and policy tactics, as well as military tactics. (3) You have to be able to communicate and express yourself, to defend your programs, and to carry them out on the ground.

The pursuit of excellence has to be there or you don't have a properly motivated officer. But if a guy is totally indifferent to family and human values, he probably would not be an effective senior officer and be willing to take all the grief and frustrations associated with general officer assignments. (7) You need a great deal of flexibility, I think you get this in negotiating, in bargaining theory. At the same time, you have to know your core of values so you don't end up compromising them. (8) You need the flexibility, the ability to make distinctions and to appreciate other values without surrendering your own, or rejecting your own and totally accepting the other. (9) There needs to be some understanding of different philosophies, because that is the life of people, that then correspond to political systems.

\*\*\* JOINT STAFF

I believe that leaders have certain attributes. (1) Intelligence is the main criteria, and that includes problem diagnosis and resolution skills. (2) Closely aligned is decision making and the capacity to involve subordinates in the decision process. (3) I put a high priority on goal setting. (4) Managing diverse interests in and outside the organization -- networking and negotiating. (5) Skillfull use of influence within the organization, managing human interactions and internal politics. (6) Controlling execution, but not over controlling. You should give mission type orders and let your subordinated do their thing unless you pick up that somehow they are drifting astray. (7) Flexibility and the capacity to take risk are very important, being willing to make a change and accepting the responsibility for the outcome. (8) Sensitivity of the strengths and weaknesses of subordinates. If you do not support them they will not support you. The capacity to provide constructive criticism is very important. (9) Communications. Most of the really successful people I have seen are superb communicators. (10) Energy, tenacity, and resistance to stress are important. The higher up you go, the more stressful it becomes.

I must add that I do not believe that there is an exact mold of a good leader. It takes all types, what is important is the overall personality and how a person puts things together. Everyone has a different way of doing their work. But I believe in all good leaders you will find variations of these traits.

\*\*\* ARMY STAFF

I see the role of the executive of being able to project beyond immediate requirements and to establish programs for the long haul. To be able to position their ideas and their plans in the minds of their subordinates, peers, and superiors, so that they are perceived to be the right way to go. The ability to take things that are rather complex on the surface and make them direct and simple. To go from passive to active. The ability to provide calmness in tense situations so that everyone's thoughts can come out, and the resulting product is the best course of action. The ability to provide the environment in which

subordinates blossom and feel that their participation and contribution is what makes an outfit tick, that they are lucky to be there, and the commander is lucky to have them. If everyone feels that way, you have an outfit that is probably well oiled and encourages individual contributions. People have no fear of speaking out or of doing the kinds of things that make sense to them within the bounds that have been established and the bounds of good judgment. The ability to articulate challenges, to analyze different options, and to project solutions that may not be easy, but will build for the long term, rather than the quick fix.

I think that those who have done extremely well tend to be creative, in the context that they are not concerned about whose idea it is. They are not held by the bounds of current regulations or programs if something appears to be worthwhile. They do not stamp down new ideas, based on some bureaucratic reason. They have the creative ability to project themselves beyond the immediate problems.

\*\*\* ARMY STAFF

Like any senior manager, you have to have a technical understanding, but an awful lot of the jobs I have had boil down to managing people. The bottom line. I do not care whether you are commanding a division or a corps or you are Comptroller of the Army. It is first selecting the right people who have the right competency for the job that you have confidence in. Then it is your own leadership style of how you work with them to get the most out of them.

\*\*\* ARMY STAFF

I'll tell you something that I think would help everybody, because we live in this world today, and that is training in computers. That is in my judgment going to become imperative thing for all general officers to have a grasp of computer science. There is far too much information available and we are going to have to use computers to reduce it in a manner that allows us to make decisions.

\*\*\* ARMY STAFF

I consider these to be the key attributes of a leader: (1) A leader must develop an ability to evaluate himself, his own circumstances, his situation, and his development. This is an acquired art, it takes time to put it in place and to be truthful with yourself, but it is essential. (2) Equally important the leader must be able to evaluate his surroundings and determine how it can be improved. and (3) A leader must develop a personal program for growth and professional development. This should be distinguished from careerism, doing only those things that you believe will give you a leg up on your contemporaries.

\*\*\* COMMANDER (CORPS)

My first big problem is how do I manage myself so that I can manage all these things? Managing my time so that I don't find myself going backwards even further into the reactive mode. Giving myself sufficient time to try to stay proactive. The second is how do we manage this organization to avoid the pitfalls of stovepipe specialization and lack of synthesis and integration. The third is the impact of advancing technology on everything we are trying to do here.

\*\*\*\* COMMANDER (MACOM)

## DEVELOPMENT PROCESSES

For the professional development of the officer corps, it seems to me that we should always be thinking about 20 years in advance, but the ability to see that far is something else. Most of the people who are involved in strategic planning are talking about seven years at the max. I think you can get some intuitive insights into what the world will be like further out than that. I just do not think, for example, that the Russians are going to change their way of doing business, their values, or their government for as far as I can see into the future. I think there will always be conflict there. That tells me something about what we need to be doing in terms of dampening that conflict; that we must be prepared to fight to win.

I think we can look about 20 years ahead right now. I think that the spectrum of conflict as we look at it now is pretty valid, from high intensity down to terrorism. If we are doing our job in deterrence, we are not going to have to fight that big war in the next 20 years, but we have to be prepared to do that, have the resources to do that, and make sure that we are developing our officer corps to fight that war. The ones that we are more likely to be involved in range from terrorist activities to what is happening in Central America, and we need to be sure we are preparing them for that, too. We can look ahead in sufficient definition to be sure that we are on the right track for professionally developing our people.

I am constantly aware that the officers that are coming in today are going to be battalion commanders in 2005 and general officers in 2020. The leadership and training provided today and next year and so on will stay with these officers throughout their careers. We must be right in what we are doing to prepare them for the challenges of the future.

One does this by putting mechanisms in place that are enduring. The key is to make sure the Chief of Staff and Army leadership buy into the philosophy and into the strategic items. If they do that, then the mechanism will be there for some time. Once you take a position on certain strategies, certain things will happen below you, and those will continue for many years.

\*\*\* DCG (MACOM)

The real heart of readiness is the capability of the leadership in its war-fighting role. I have a very broad goal. I want to build a leadership team that understands the game plan and each other, and is able to lead well in a combat situation. I try to focus on that goal through decentralization of responsibility and through supervision of execution in such a way that it is developmental for the people involved. I try to give every opportunity I can for people to face new situations, particularly those that I know they will face during war, either at the level they are presently at or at the next successive levels. I want to give them the opportunity to learn through trial and error and other experimental methods to develop themselves as better leaders. A great deal of leadership development is achieved through the process of trial and error. It has been my experience with human nature that this is the way a large number of people learn. Therefore, I do not concentrate on zero errors, but rather, an approach that values a person's ability to recover from mistakes. I know that "Murphy's Law" is in effect and the battlefield is going to be chaotic; therefore, I want people to recover from situations they do not want to be in regardless of the cause. The recovery ability is the important issue because it requires flexibility, sensitivity, intelligence, tough mindedness, and all the things we combine together which we call leadership.

\*\*\* COMMANDER (CORPS)

I believe there are three essential pillars to an officers professional development: the formal military education system beginning with ROTC or the Military Academy through the war college; the civilian education system; and the learning on the job. Development must occur through each of these means, but the one that is probably accomplished the least is the learning on the job. The objective of this training should be to broaden an officers perspective at each level of the structure. For example, battalion commanders should be trying to give their junior officers an understanding of how things work at battalion level or even higher and how what they do at the company/platoon level fit into the larger structure. This needs to be done at every level to include within the general officer levels. In my view, four stars have

an obligation to help educate three stars, and the three stars have responsibility to educate the two stars, the one stars and the colonels. That education should continue all the way through, but in order for it to work, the officer corps has to understand that they do not know it all and never will know it all and they continue to learn all the time.

\*\*\* COMMANDER (MACOM)

Innovation and creativity cannot survive in an environment which is intolerant of failure...There is great resistance in our Army to any tolerance of failure. Many commanders believe that we cannot afford even to appear to tolerate failure of any kind because winning is so important in combat. Hence, the argument goes, tolerating any failure risks "growing losers." What this argument fails to recognize is the price which we pay as an institution for this attitude... We need leaders at all levels who are capable of and comfortable with innovative approaches to problems, and who are not hamstrung in their decision processes and behavior by a risk-averse conservatism...My job is to set the proper environment through establishing the right priorities and values that will allow subordinate commanders to develop the proper unit level climate which will encourage innovative growth.

\*\*\*\* COMMANDER (MACOM)

I have completed 34 years of service and of that time 17 years were joint assignments, I have been outside the Army for half of my career. The last Army school I attended was the Advanced Course. I went to the Naval Command and Staff course and the National War College. Throughout these joint assignments I have had a lot of political military interaction which has been a great help to me in this and my previous assignment, both as CINC of a Unified Command. Attending the Navy's school really opened my eyes and broadened my horizons.

\*\*\*\* (CINC)

The military education system is great, but it stops too soon. We need a post war college course for general officers and SESSs. The course needs to provide these senior leaders with the tools that they must have in order to do executive level work. It should emphasize organizational structure, how to analyze an organization, innovative ways of managing, and interface with the other parts of the federal government, both the executive and legislative branches. We need to equip these folks with a vault of potential ideas that they might be able to use not just in their next assignment but for the next two or so assignments.

\*\*\* COMMANDER (MACOM)

At the War College level we need to ask students to think through tough issues and situations where they understand a little more about management of the Army in the upper echelons. Officers need to be taught how to deal with uncertainty. That is one of the things that George Marshall was so good at. ... One has to figure out how to deal with situations when you do not have all the information and must make a decision. Three words describe what I am pushing -- "think", "plan" and "decide." I find that many cannot come to the decision point, because they cannot get their act together in the planning business.

\*\*\*\*\* COMMANDER (MACOM)

I am concerned that we are not preparing our general officers for the visibility that they are going to have in the public arena, for the visibility that they are going to have in the international arena, or for the responsibilities in the Joint Combined arena as well as in the service arena. Just like their financial dealings, the legal problems that general officers usually get into are simply because they are general officers running organizations which are highly scrutinized and did not have the education. There were matters that they did not know about, but probably should have. I just do not think we are preparing our general officers. We are assuming too much when we put a star on their shoulder.

\*\*\* JOINT STAFF

Some of the best experience an officer can have to really learn his grade is to instruct in his branch school. That will really assist him in growing. Although everybody likes to think they know all about tactics or the weapon systems and all of that, once they get on the platform they find maybe they do not. The instructor quickly learns that he has a lot to learn and he must or he will be shot down by some smart guy sitting in the classroom. The point is that you really learn your trade by being an instructor.

\*\*\* COMMANDER (CORPS)

The school system is important for the military -- and perhaps more so for the civilians -- and that is in the associations developed. The greatest benefit I have had from ICAF and Leavenworth is association with my peers, to know them, to establish that network.

\*\*\*\* COMMANDER (MACOM)

There is no aspect of preparing for the future that is more important than developing the technical and tactical competence of the Army's leadership -- sergeant through general. Much of this must happen in formal schools, and it must be continued and augmented in unit professional development programs.

\*\*\*\* COMMANDER (MACOM)

I think the British have a good system for the development of their three- and four star generals. Take a major general that's going to become a three-star or a three-star that's going to become a four-star. He is relieved of his duties about six months in advance of taking over the new duties and goes on a learning experience. That learning experience varies for every job but it's job related and it encompasses economics, political, military and so on. During those six months the officer is responsible only for his own development and preparation for his next assignment. The concept is that he will be prepared to assume his new duties and there will be little to no learning requirement and

thus the command or organization will not suffer as the leader is learning his job. If I would have had a similar opportunity when I moved to this job I would have been much better prepared.

\*\*\*\* CINC

## MENTORING

I use mentoring to convince my subordinates of my logic, by rationalizing my way through the process, and at the same time, trying to get their support, rather than doing it by edict. I am also trying to get the recipient to apply his own logic and thinking to a problem, to look at it more broadly. Another technique is to sit down and talk about a particular need, and let the individual figure out a solution.

\*\*\*\* COMMANDER (MACOM)

One of the most difficult task for any officer is rendering an evaluation report on his subordinates, and it becomes more difficult for the senior rater. The report is a real motivational tool. Suppose as a division commander you give a battalion commander a luke-warm report. No matter if you personally counsel him and suggest ways to improve his reports, he will still feel as though you have already put a damper on him. He will feel as if his chances of ever being a general are probably gone forever. When you do that you really get a test of leadership ability. You must look him in the eye and tell him he is never going to be a brigade commander, and still let him know that you have enough confidence in him that he is going to be a good battalion commander. He is going to make a contribution.

\*\*\*\* CINC

My idea of a mentor is someone who teaches, someone who coaches, someone who is concerned about you and someone who sets very high standards for you. Not only that designing programs so that he can get all of his subordinates involved in professional development, in all aspects: technical, tactical, character, and family. My first mentor was the executive to the Secretary of the Army, the Honorable Mr. Resor. He set very high standards both in his personal and professional life. He was an example for all of us who worked with to emulate. But as busy as he was in that position, he took time to train us how to think. He did that in two ways. First, he would ask some very penetrating questions on

various issues and make each of us do some really hard thinking. At other times he would give us a book to read or give us a reading assignment. The books were always ones that would stimulate thinking. Sometime later he would ask what we thought about some issue in a particular book and we would have a discussion about the various aspects of that issue, we fondly called these his little "think sessions." This approach had a significant impact on me and I have tried to follow that example. I should also say that the books he would have us read covered a variety of subjects and not just military.

\*\*\* DCG (MACOM)

I happen to believe that developing good leaders who possess the spirit of victory requires the rigorous application of the principles of leadership that have been tested and proven in the dust and confusion of battles gone by. The case study approach to teaching leadership is one part of the equation. Another part is the patient tutoring and mentoring of subordinates by leaders at all levels.

SECY OF ARMY

Today's young people are excellent material, but we have to give them the best leadership possible. We cannot do it only by example. We have to do that, of course, but it also takes mentoring and counseling. For the soldier and his unit to succeed and survive in combat, human communications must not only guide professionalism, but build trust, loyalty and, above all, the confidence necessary to seal the bond between leader and subordinates. I know it works. I have seen it on the battlefield.

\*\*\*\* CINC

SECTION IV  
THE INTEGRATORS

GENERAL OF THE ARMY - GEORGE MARSHALL

He was no easy man and could be extremely rigid. But he had terrific influence and power especially over the British and Congress but there was never any underhanded or selfish motive. The British saw him as not one out to make American or British points, but trying only to win the war the best way. The Congress knew him as honest with and straight forward with out any political involvement.

At one point in the war the Congress granted the Chief of Staff an allocation of \$100 million to use for any purpose he wished without having to account for it in detail to the House. People had great confidence in him.

All through the war he had watched his physical condition like a hawk, keeping regular hours, rarely staying late at the office, taking plenty of exercise and eating balanced meals. But if he was in fair condition bodily, mentally he was exhausted. Every day since 1941 he had to make daily decision which he knew must affect the lives of men and the fate of nations. The global responsibility had grown with the expansion of the war, and so had its nagging worries and time-consuming irritations. As Chief of Staff he had never allowed himself the luxury of showing doubt or uncertainty. Everyone, form the President, the Congress, and the Allies to the people and the Army, needed to be convinced that amid chaos and confusion, he at least knew what he was doing and was ready to make a decision or promulgate an order. He had been the rock to which everyone had clung in the blacker and stormier moments of the war, convinced that if they stuck to him, he would see them through the crises.

British Chief of Staff Letter to Marshall at the wars end:  
...Throughout your association with us in the higher direction of the

Armed Forces of America and Britian, your unfailing wisdom, high principles and breadth of view have commanded the deepest respect and admiration of us all . Always you have honoured us by your frankness, charmed us by your courtesy and inspired us by your singleness of purpose and your selfless devotion to our common cause.

Urged his assistant to always be candid and outspoken with him and brutally frank if he thought it necessary. He need not worry about hurting his feelings, because he had no feelings except those he reserved for the Mrs.--- this was not true, of course, but he did try never to show his feelings and did not usually give way to emotions except when he did it deliberately, to achieve an effect. But underneath the mask he was a very humane, sympathetic, and understanding man.

Marshall was a first class teacher, able to encapsulate difficult military problems into a few short sentences -- he once summed up the causes of the Civil War in a five-minute lecture -- and though most of his students discovered that he was a hard taskmaster, they also found him a stimulating and challenging stretcher of their mental and physical capacities. He challenged, encouraged, and inspired them.

It was at Fort Benning, as the assistant commandant of the Infantry school, that Marshall begin to keep the names in a "little black book" of those officers whose talents impressed him. It was later as the Chief of Staff that he often referred to it when he selected men to lead the armies of World War II.

Marshall as seen by an assistant secretary on the General Staff: He is the most self-contained individual I have ever encountered. Apparently, he has no confidants. His aide-de-camp, is used on personal affairs very little....His is against yes-men and seems to dislike aides-de-camp though he has been one to General Pershing. He swears a good oath on occasion, does not smoke, and rides for exercise whenever he can....He has a good memory and a keen political sense and what my old friend Brigadier General Preston once described as a "golden streak of imagination."

Marshall was meticulous about the morale of American servicemen overseas, and he sent a series of roving military ambassadors permanently circling the world, visiting in every place US troops were serving with no other mission than to listen for gripes and recommend how to remedy them. When he visited a station he would dispense with the commanding officer, set off for a tour with only his driver, and then proceed to keep his ears open for complaints. But it wasn't always the enlisted men who got Marshall's especial attention. He looked after the top brass, too. Whenever he visited a US war front he would have his assistant visit and talk to every commanding officer in the area and jot down notes about him, and he himself would see and talk with the top officers. Back in Washington, he would then write a personal note to the wife, mother or nearest relative of every senior officer he and his assistant had met, passing on messages, commenting on their condition. He kept up a regular correspondence with the wives of old colleagues (Clark, Smith, Patton, and Eisenhower) acting as a conduit between the spouses and making the separation less hard to bear. It goes without saying that he never snitched on his generals, particularly to their wives, but somehow the word got around to them that in a vuncular way Marshall was keeping an eye on their husbands, and not just as soldiers, and would see that they did not go off the rails when they were away from the battle.

A few days after introducing the Marshall Plan, he was called to testify on the plan before the Senate Appropriations Committee. He instructed his two experts to develop an opening statement for him to read. Working all night they gathered the facts and figures needed for the opening statement. Marshall after reading the statement said: "I don't think I will use this. Do not misunderstand me. I think it is a good statement. But when you think about it, what does Senator \_\_\_\_\_ want? What he wants to know is what I, General Marshall, understand about this plan. And if I go there and read this statement, they will know you two wrote it. And then they will start asking me questions. I think it would be much better if I go there with no statement at all. I am there at their request. I do not have to make a statement. What's more, you may have noticed that one of my old generals just died, and his

funeral is on Monday. I think I'll go to his funeral, and only after that will I appear at the committee hearings. Everybody will be waiting for me, and expect a statement from me, and I'll say, 'Mr. Chairman, you've asked me to appear, and I'm ready to answer your questions.' And then they'll ask me questions, and no matter what the questions are, I will have studied this memorandum over the weekend, and I can introduce every point you've made in answering their questions. An this will satisfy them because what that committee really wants to know is whether I understand this plan." This reveals his sense of tactics and strategy and his cunning facility for getting people to do what he wanted them to do.

Roosevelt in discussing the position of Supreme Allied Commander with Marshall said, "I know what this means to you. This what you have always dreamed about, the apotheosis of your career, the command that will write your name in the halls of fame as the most famous soldier of them all. Take it. You only have to ask." Marshall's response as he told later was: "I just repeated again in as convincing language as I could that I wanted him (the President) to feel free to act in whatever he felt was the best interest of the country and to his satisfaction and not in any way to consider my feelings. I would cheerfully go whatever way he wanted me to go, and I didn't express any desire one way or the other."

Time and again in his career, Marshall had been aware that a little flattery here, a little bootlicking there might have eased his path to the top, but so far as his own personal promotion was concerned, he had never used his influence. Pride and principle always held him back. As Chief of Staff, on behalf of the United States Army and his country, he had often wheeled and dealed with Congress, with senators, and with the President himself. But on his own behalf, he had never cut a corner and he never would. It would have offended his own pride in himself, his armour proper.

Marshall had always been a dedicated delegator of duties, who believed in picking the best man or woman for a job and then letting him or her get on with it. General Tom Handy, Deputy Chief of Staff said: "Marshall never had a clique or gang. One could work and argue with

him. As long as you did your job, everything was all right. He could be rough when he wanted to be. He could raise hell. and he could freeze you. But he could listen for long periods when he was being briefed, and it was astounding how much he could remember, even the little things. He once came back from a session before a congressional committee on the Hill, when he had been asked some prickly and meticulous questions or minor but complicated matters. He had reeled off the answers with ease and authority. I asked him how on earth he had remembered all the details. 'I picked them up over a number of weeks from the briefing officers,' he said."

Considering the many burdens he dealt with on daily basis he kept extra ordinarily fit and unruffled. Except when he was traveling, he never went late to bed, and he saw his wife at least for an evening meal, which she had waiting for him when he got home a 6:00 P.M.. On a typical day he arrived at the office at 0745 and departed at 1730. He had a fetish for a clean desk. Only once did he stay late and keep the secretaries waiting for him. It was during the Cairo Conference, and he came out of a long day of strategical discussions to find a note for him from Washington about the exemption from the draft of a famous athlete. He was a baseball catcher who had been put on limited duty because he had broken two fingers in the course of his career. Marshall, his face flushed with rage, kept his assistants on duty while he found out from the States who else had been exempted. He was appalled when he got the list and cabled an urgent memorandum to his office:

I fear a serious scandal in this matter if this action was taken by Army doctors. It is ridiculous from my point of view to place on limited service a man who can catch, with his broken fingers, a fast ball. If he cannot handle a machine gun, I am no soldier. What I have in mind is to check up on these particular cases, having the Inspector General go into the matter with the doctors concerned, to see if we are guilty of a serious dereliction. If the rejection were carried out by local boards, that is another matter, but if an Army officer on active duty is a participant, then we are responsible and I don't want any damn nonsense about this thing. I have seen dozen of men with a half dozen serious complaints in addition to their years passed by the Army doctors -- and now to find great athletes, football and baseball, exempted is not to be tolerated.

It hardly seemed a matter that the Chief of Staff of the United States Army should have been worrying about when he was in the middle of discussing the future course of the war. But to him it was just as important as military strategy since, when the news got around, it would demonstrate to the fighting troops that no one got favored, neither the Chief of Staff's own stepsons nor the pampered heroes of sport.

The friendship and working relationship between General Marshall and Sir John Dill, the British liaison officer in Washington, had become so close by 1944 that they no longer had any secrets from each other. Marshall had given Dill a copy of his own private code for use in communicating with him when he was out of town or out of the country. He had also put Dill's name on the highly restricted list of those who were allowed to read the daily Magic intercepts of secret Japanese code messages. Dill, in return, turned over to Marshall all the confidential summaries of decisions made in London by the Imperial General Staff, an invaluable insight into the ways in which the British military minds were going.

If either man had been indiscrete, they could have shattered Anglo-American relations. But they had become adept at handling each other's hot potatoes and took care to see that neither they nor anyone else got burned.

So far as Marshall was concerned, one of Dill's most useful functions was his ability to let him have information not only about British military thinking but also of the way in which President Roosevelt's mind was working. Mr. Churchill as both the prime minister and minister of defense was in intimate touch with his staff officers at all hours of the day and night. But the President of the United States was not nearly as assessibel to his senior military officers. The British knew what was on Churchill's mind, but we often did not know what was on the President's. So at time the only way we could find out what the prime minister and the President were up to was through Sir John.

There was another way in which Dill helped Marshall, and that was in letting him know whenever the British staff chiefs were trying to deceive him over some operation or military project and when they were serious.

"The British chiefs were tops of their services," Handy said, "and if they felt a certain way or believed a certain thing, you paid a hell of a lot of attention to it. You might not accept it, but you gave it a lot of weight. But what our people were up against was whether what the British were telling us really represented their best military opinion or whether it was something they'd been dragged into by the prime minister. That was where Sir John was just wonderful. Of course, everybody liked him, and the British chiefs paid a lot of attention to him. Because he also reported on us, of course. He opposed certain things we favored. But he also opposed certain things the British favored. An boy, when we got an opinion from Sir John, we knew it was Sir John's and not the prime ministers."

# Executive Development Research Group

## Working Paper

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PERSON ATTRIBUTES OF AND TRAINING PROGRAMS FOR ENHANCING  
EFFECTIVE PROBLEM SOLVING: A LITERATURE REVIEW

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June 1988

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PERSON ATTRIBUTES OF AND TRAINING PROGRAMS FOR ENHANCING  
EFFECTIVE PROBLEM SOLVING: A LITERATURE REVIEW

STEVEN R. STEWART

I. INTRODUCTION.

The ancient Greeks and others who lived in advanced civilizations of their time believed that significant achievements of man resulted from the intervention of one or more Gods. Warriors defeated their enemies with Gods at their side and, similarly, Gods guided the work of those musicians, artists, and playwrights who were considered creative and successful (Dodds, 1956). Thus, for the Greeks and others of their time, creativity was not viewed as a human ability, but, rather, as a gift which was rich in promise as well as danger. This was the case because the mind of the creative individual was thought to have been "touched" by the divine and the secrets thereby transmitted could lead to success or they might overwhelm the individual resulting in madness (Simon, 1978).

The tendency to associate creative acts with mental illness and mystical connotations has been slow to dissipate. Some of the first very definitive work conducted in the area of "creativity and psychological health" was accomplished by Barron (1955). More recent work in this domain has been conducted by Ainsworth-Land, 1981; Krippner, 1981; Richards, 1981; and Karlson, 1978. Although evidence exists from those references just cited that, for example, complexity in perception is a facet of both creativity and schizophrenia, the reasons for the existence of such propensities in the healthy and the mentally ill seem to come about for entirely different reasons. Accordingly, more modern day and enlightened positions disregard the idea that creativity is associated with mental illness or is a magical gift possessed by only a few and assert those person variables responsible for its manifestation in "normal" persons can be identified and relationships established (Barron and Harrington, 1981). Moreover, it has been assumed the capability to be creative exists to a greater or lesser extent in all humans and that, therefore, with appropriate training the ability or propensity can be increased (Mansfield, Busse and Krepelka, 1978). Two bodies of literature have built up around these theses. Each of these bodies of literature will be reviewed separately and in focused form in the section which immediately follows. The purpose of the review is to provide the rationale for the content of future proposed research.

II. LITERATURE REVIEW.

CREATIVITY-GENERAL

As is obvious from the brief introduction presented above,

creativity has been a topic of lay discussion and scientific investigation for a considerable period of time. With regard to the latter, intensive modern day investigation of the subject was stimulated in earnest by J. P. Guilford's parting address as President of the American Psychological Association. In this address he pointed out that up until that time (1950) only 186 out of 121,000 entries in Psychological Abstracts dealt with creative imagination. The address stimulated great interest in this area of study and led to an exponential increase in the number of papers, conferences, books, and journals devoted to the subject. This increase did not level off until 1970 during and after which about 250 new articles, books, and dissertations have been produced each year.

Despite the tremendous amount of energy which has been expended in the investigation of the creativity construct, very little real progress has been made in terms of explaining why some individuals seem to be "creative", while others are less so. On the basis of an analysis of the latest reviews of the literature of the area (Stein, 1968; Dellas and Gaier, 1970; Gilchrist, 1972; Torrance, 1972; Barron and Harrington, 1981; Mansfield and Busse, 1981; and Hocevar, 1981), there appear to be three very basic reasons for the lack of progress shown. These involve problems related to definition, the inclusiveness of the predictors investigated (most investigations have been very narrowly focused) and the types of criterion measures used, and to a lack of sensitivity of researchers to the potential effects of the domain, e.g., art versus science, under investigation on outcomes. To clarify with regard to the lattermentioned problem of domain, the same category of measures, e.g., divergent thinking abilities, have been used to study creative production in a variety of fields without first doing an analysis to determine if that ability was a requirement for "successful" performance. Each of these generic problems are discussed below.

#### DEFINITIONS.

There have been many definitions of creativity offered over the years. Among early definitions are those of Ribot (1906) of creativity as a process of thinking by analogy, seeing relationships with both conscious and subconscious processes operating for the education of relations and correlates (Spearman, 1930), and more recently, Barchillion (1961) has made the distinction between "cogito" or the ability to shake and throw things together, and the "intelligo" or the ability to choose and discriminate from many possibilities for synthesizing and binding elements together in original ways. Even more recently, the definitional problem was substantially underscored in a number of ways by Barron and Harrington (1981) and also by Khatena (1978). Definitions of the creativity construct are legion, almost rivaling the number of articles, books and papers that have been written on the subject. Some definitions require that social meaning be attached to the products of the creative process, i.e., the product or output must be socially valuable if

their maker is to be regarded as creative. Other definitions stress the intrinsic value of the product, de-emphasizing the need for any demonstrable social value and emphasizing the need only for novelty or uniqueness. Definitions also vary in terms of the level of accomplishment recognized, i.e., the difficulty of the problem to be solved relative to the elegance or beauty of the product or to the nature of the product's impact. Another confusion associated with terminology involves distinctions between creativity as achievement (in-fact), creativity as ability (potential), and creativity as disposition (attitude or propensity). With regard to the latter, for example, see Torda (1970).

#### PREDICTORS AND CRITERIA.

##### PREDICTORS.

###### Abilities.

Understanding creativity also involves understanding its theoretical source. For example, interest in the general subject area of creativity went hand-in-hand with interest in the relationships of the latter to intelligence and the abilities presumably underpinning it. Thus, Guilford's own Structure-of-the-Intellect Model as well as Cattell's concomitantly evolving alternative model of "Fluid" and "Crystallized" intelligence provided much of the impetus for examining relationships between intelligence and other abilities defined by these conceptual schemes and creativity. Although the proliferation of these models (which in their more elaborate form involved the specification of 120 and about 500 abilities/sub-abilities respectively) is related to the definitional problem from a theoretical perspective, they also begin to get at the criterion and predictor problem mentioned earlier. For example, Divergent Thinking ability (from the Structure-of-the-Intellect Model) which has to do with being able to identify a wide variety of uses for given objects has been used for many years as being synonymous with creative production. However, when it comes to the question of validity, very little supporting evidence exists to show that divergent thinking tests measure anything involved in creative thinking. Barron and Harrington (1981) comment:

"..an imprecisely qualified answer does seem justified by the evidence gathered thus far: some divergent thinking tests, administered under some conditions and scored by some sets of criteria, measure abilities related to creative achievement and behavior in some domains."

The relationship between general intelligence and creative production has also been extensively researched over the years. Generally, studies of creative artists, scientists, writers, and engineers show that they score highly on measures of general intelligence (e.g., Barron, 1969; Bachtold and Werner, 1970; Cattell, 1971; Helson, 1971; Bachtold and Werner, 1973). However, across a variety of studies, correlations between tested intelligence and measures of creative achievement range from

insignificantly negative (-.05) to mildly and significantly positive (+.31). Apparently there is no relationship between general intelligence and creative thinking after a certain amount of measured intelligence is reached. After that point, other factors are hypothesized to come into play (Simonton, 1976). These measures and those above represent one level of generality vis-a-vis the study of correlates of creative achievement and they represent only two examples of an extremely elementary level of measurement of cognitive functioning as it may relate to problem solving capability. Other examples of cognitive capabilities which have been studied at this level include the following: Baird (1972), Bennet (1972), Vernon (1972), and Backman and Tuckman (1978) investigated the relationship between associational abilities and creative accomplishments. Mental imagery ability as it might relate to cognitive production has been the subject of investigations conducted by Lindauer (1977) and Khatena (1978). Problem finding abilities were studied by Mackworth (1965) and Glover (1965).

#### Cognitive Styles.

At a higher level of generality, but nonetheless contributing to the lack of coherence concerning what the potential correlates of creative problem solving may be, are what are referred to as cognitive or learning style/strategy variables. These more macroscopic measures of cognitive functioning have grown primarily out of the work of researchers involved in human development, human information processing in general, student learning and teaching, and psychophysiology. Where abilities essentially refer to the content of cognition or the question of "what", cognitive style tends to bear on the question of "how", i.e., or one could say, as alluded to previously, to the issue of the "process" involved in cognitive production. Also, the concept of ability implies maximum accomplishment, whereas the concept of style implies measurement of characteristic modes of operation or ways of interacting with the environment. It is not clear at this point whether ability measures underpin more holistic style measures and, if they do, what the nature of such relationships might be.

The cognitive process participants might use in attempting to solve problems is an area which has not received the attention it deserves in most creativity research. To quote Barron and Harrington (1981):

"Divergent thinking in fact goes hand in glove with convergent thinking in a new idea. The aha! comes when the process reaches a conclusion. But process is precisely what is invisible in the usual DT used in creativity research. A problem is set, and a written answer is obtained. What happens in between is anybody's guess. Short closely timed tests in which a problem is set and a brief response is required are ideal for use in a battery of tests destined for factor analysis. Has this requirement, which deliberately excludes scrutiny and analysis of process, been more of a bane than a blessing to research on

creativity? Has the distinction between convergent and divergent, though real enough in the life of thought, been a mischievous one? We have for this review surveyed hundreds of reports on DT tests and are left wondering".

From the review which was done to generate this document, the above statement is generally true. There are exceptions, however. They involve work outside of the area of creativity research per se and are those which were outlined at the outset of this sub-section. For example, the work of Pask and Scott (1972) and Pask (1976a, and 1976b) and Schroder, Driver, and Streufert (1967) and Streufert and Streufert (1978) are exemplary in that they, in fact, were studies designed precisely to trace the process which participants used in solving problems. These efforts and others in the cognitive style arena are presented and discussed more fully below.

#### Human Development.

Even though the style measures have grown out of the study of four different areas, some of the findings which have emerged are remarkably similar. For example, in the area of human development it has been found (Witkin, Dyk, Faterson, Goodenough, and Karp (1962); Witkin, Lewis, Hertzman, Machover, Meissner, and Wapner (1954); and Witkin, Goodenough, and Karp (1967) that individuals become more field independent or differentiated in their outlook with increasing age using three different measures of field independence/dependence. There is a steady growth in the degree of differentiation up to about the age of seventeen where it then tapers off to essentially a flat growth rate through the upper age limit (24 years) of those individuals investigated. Fisher and Hand (1984) have found essentially the same thing, i.e., that there is a steady progression in the ability to make finer and finer discriminations with respect to one's environment but that this process takes place in spurts rather than being continuously progressive in nature. They also have found that the ability to construct representations of the environment becomes increasingly complex with aging, progressing from simple unidimensional representations to multidimensional ones which they refer to as "systems of abstract systems". These findings suggest not only the growth in ability to analyze (differentiate) but also to synthesize (integrate) or to form complex linkages among concepts in constructing a representation of reality.

#### Human Information Processing.

In terms of studies of adult information processing, Schroder, Driver, and Streufert (1967) and Streufert and Streufert (1978) have obtained findings similar to those identified above in the human development area. They used a completely different methodology relative to those used in the development studies. This method involved participants making

decisions in the context of a complex simulation environment. Matrices were constructed of the types of decisions that were made relative to the passage of game time. In other words, type of decision was plotted on the ordinate and time on the abscissa. Using a strategy whereby the subject talked through the decision matrix, it was possible to specify the inter-linkages among the decisions themselves. Although oversimplifying somewhat, their findings indicate variations of two basic information processing styles, viz., those who had a preference for proceeding in a relatively serial fashion in problem solving, showing the ability to differentiate but with little integration and those showing relatively high levels of capability to both differentiate and integrate in their decision making strategies.

### Learning Styles.

Finally, learning styles which have been investigated in the educational environment can be linked to those results presented above on human development and adult information processing. In a well known series of studies (Pask and Scott, 1972; Pask, 1976a, 1976b) Pask attempted to identify the process participants used in learning sets of materials. The participants were instructed not to memorize the materials, but rather to attempt to truly understand them. A typical problem was to learn the principles of classification that were underlying the division of two species of fictitious animals, the "Clobbits" and the "Gandlemullers." The participants had to overtly ask questions about the classification schemata and the process they followed in sorting a set of "animal cards" into a final structure was recorded. The participants had to use a "teach back" method to verify to the researchers that they had indeed learned the classification structures. Two basic learning strategies emerged. The first Pask referred to as "holist" and the style is called "comprehension learning." "Holists" look further ahead on a problem presumably for the purpose of building a picture of the problem in its entirety. One could call this attempting to build a systems view. The second basic style discovered is referred to as "Serialist" and is called "operation learning." Operation learners proceed in serial fashion from one part of the problem to the next. Thus, their development of a perspective on a problem is from the bottom up. A picture develops when the problem is finished, whereas, as stated above, the holist will attempt to develop a picture of the problem as a whole before worrying about the details. Ergo, the holist may miss the trees for the forest and the serialist may miss the forest for the trees.

Taking another example in the learning strategy/style area, Gregorc (1979) proposed four learning styles based upon observations and interviews with students. He found that students were capable of thinking both in the abstract and concretely but, for each of these categories, there were those who proceeded in problem solving in sequential and random fashion. The latter two types of problem solving are decidedly reminiscent of Pask's serialist and holist learners and to

Streufert's differentiators and integrators, respectively. Chickering (1976) also emphasized the need for students to be capable of alternating between the basic processes of differentiation and integration.

### Psychophysiology.

There is recent evidence that the basic cognitive styles which have been described in the immediately preceding paragraphs are a manifestation of the hemispheric functioning of the brain. Gur (1987) reports on the results obtained with a new technique for measuring regional cerebral blood flow (rCBF) through the use of positron emission tomography (PET). PET involves the use of radioactive isotopes for measuring a diverse range of physiologic parameters including glucose and oxygen metabolism as well as blood flow. The radio isotope in question here is 133-xenon which made it first possible to measure rCBF through the use of a procedure developed by Oleson, et.al. (1971). Oleson's procedure involves rapidly injecting the highly diffusible gas (133-xenon) into either the right or left internal carotid artery. The 133-xenon is then carried by the blood supply to either the left or right hemisphere of the brain, respectively. Placed on various positions on the scalp are scintillation detectors which record the number of gamma rays and x rays emitted by the 133-xenon per unit time. This information can be used to determine the rate of clearance of the 133-xenon from various regions of the brain, and from the rate of clearance it is possible to quantify with considerable accuracy rCBF in gray matter as well as the combined blood flow of gray and white matter. The technique has considerable disadvantage in studying the relationship between brain activity and behavior because only one region of the brain can be explored at a time and the procedure is highly invasive.

To overcome these limitations, Obrist (1975) and his colleagues developed a 133-xenon inhalation technique which was not invasive. The participant simply breathes the 133-xenon mixed with air through a face mask. The technique permits simultaneous measurement of the rCBF of both hemispheres and the number of brain regions which can be measured depends upon the number of detectors placed upon the participant's head. Up to 254 have been used.

Gur (1987) used the Orbist technique to determine if changes in rCBF could be detected with participants performing different cognitive tasks hypothesized to call for right or left hemispherical specialization. In their initial attempt to do this, a sample of right handed males was used because they were thought to have the greatest degree of hemispheric specialization based upon the work of Witelson (1977). The rCBF of these participants was measured at rest and during the performance of two standardized cognitive tasks: reasoning (analogies) and spacial closure (gestalt figures). It was hypothesized that there would be an increase in rCBF of the left hemisphere for the verbal analogies and a similar increase of same in the right hemisphere for the spatial closure task. They found that both tasks increased rCBF bilaterally. The verbal task, as expected,

produced a greater increase in the left hemisphere. The spatial task did not result in the hypothesized greater increase in the right hemisphere. Of thirty-six participants, fourteen showed greater increase to the right, two showed bilaterally symmetric changes and fourteen showed greater increase to the left. These results do not necessarily invalidate the hypothesis that cognitive activity produces increased rCBF in regions required for its processing. Some earlier studies have shown individual differences in characteristic hemispheric activation. Since all of Gur's participants were highly educated, they may have had a bias to activate the left hemisphere even for spatial tasks. Indeed, the fourteen subjects showing greater right hemispheric activation performed better on the spatial task than the participants showing the reverse pattern.

In a second study (Gur, 1987), the same design was used with right and left handed males and females. However, the spatial task was replaced by a line orientation task. In this experiment, both verbal and spatial tasks produced hemispherically asymmetric increases in rCBF, verbal on the left and spatial on the right. The dimensions of handedness and sex also played a role. Females had higher rCBF overall and left handers differed from right handers in the pattern of hemispheric activation. More specifically, these differences reflect a significant four way interaction (handedness, sex, task, and hemispheres). This interaction reflects a different pattern of blood flow in the two hemispheres in each of the four groups of participants. Relative to a baseline condition (performance of no specified cognitive activity), both groups of right-handed participants showed greater increases in left hemispheric blood flow than in right hemispheric flow during the performance of the verbal task, and the right-handed females also had greater increases in right hemispheric flow during the performance of the spatial task. Thus, in right-handed females the laterality effect was weaker in right handers. The laterality effect was weaker in left-handers; in left-handed males, the increase in blood flow was the same in both hemispheres for the verbal task, but was greater in the right hemisphere for the spatial task. These differences indicate that rCBF measurement is sensitive not only to the effects of cognitive effort on regional brain activity, but also to individual differences known to affect the direction and degree of hemispheric specialization for cognitive function.

From Gur's results and those presented above on cognitive style, one could hypothesize that "holists" would tend to be more spatially oriented (right brained) and "serialists" would tend to be more verbally oriented (left brained). However, this statement should not be taken to indicate that one mode of functioning is superior to the other. Indeed, there are some data available (Springer and Deutsch, 1981) which suggest that a balance between the specialization of the two hemispheres (right being specialized in the visual spatial, perceptual and emotional and the left specializing in logical operations, language, speech, mathematical skills and analytical thinking), is critical for overall effective problem solving. Although this is true,

Williams et. al. (1984) cite evidence which is suggestive of the major importance of the holistic right hemisphere in the generation of new and sometimes novel ideas. From evidence which they present, they hypothesize that at the outset of the creative or problem solving process, the left brain analytical skills as well as certain right brain inputs, e.g., perceptual and emotional information, are required to fragment the left brain inputs which represent composites of accumulated data. When the fragmentation is completed, the holistic abilities of the right hemisphere reorganize the disassembled data into new Gestalts or sets. The Gestalts are then transferred from the right to the left brain, frequently in pictorial form, which the left brain translates into linguistic constructions. This is the moment of the aha! The left brain evaluates the effectiveness of the new constructs for solving the current problem and , if available, selects an appropriate option. When the process is successful, we call it creativity or we could just as well call it effective problem solving in those cases where there is no "right" answer.

#### Personality Parameters.

One other class of predictor variable has been extensively investigated in relation to creative production. This class involves personality characteristics of those individuals studied who were considered creative. Only a sampling of the efforts which have been accomplished in this subject area will be cited. Major attention will be on the presentation of a synthesis of the findings judged most germane here.

Artistic activity and achievement has been one area of extensive investigation. Participant populations which have been targets of investigation include preschool children (Trowbridge and Charles, 1966; and Milgram et al, 1977), elementary school children (e.g., Ellison et al, 1976), high school students (e.g., Ellison et al, 1976), undergraduates and students in art schools (e.g., Barron, 1972), professional artists (e.g., Gotz and Gotz 1979) and those in art related fields e.g., architects (Gough, 1979). Creativity in literature and music has also been extensively investigated. Investigations by Helson (1970) and Bachtold and Werner (1973) and by Raychaudhuri (1967) and Khatena (1971) are representative of those in the latter mentioned two areas respectively. Science and technology has received perhaps the most attention, probably because of the economic significance of this area of specialization. The review cited earlier in this paper, i.e., the one by Mansfield and Busse (1981), does a very good job of summarizing the relevant investigations.

In general, from all of those efforts cited immediately above, the picture of the types of personality characteristics associated with creativity across the arts and sciences include the following: high independence in judgement; very broad experience; a penchant for originality; high energy level; attraction to complexity; a tendency to rely on intuition as opposed to concrete experience; high self-confidence; the capability to resolve apparent discrepancies or anomalies in one's own personality, which implies the ability to reconcile

inconsistencies in one's environment and to deal with attendant ambiguities; and a firm sense of self as "creative".

#### Criteria.

##### Test Scores.

In terms of criterion variables, a major problem in this area was already highlighted implicitly in this section. This involves equating creativity or the ability to solve problems in novel ways with test scores. For example, Divergent Thinking has been assumed by some investigators to be equivalent to being able to accomplish the latter mentioned function. However, as already cited previously, very little evidence exists for the validity of this assumption. Investigators who have developed tests to measure divergent thinking ability and/or have used it as a criterion measure include Christianson et. al. (1960), Berger and Wilson (1960), Getzels and Jackson (1962), Gough (1975), Lawshe and Harris (1960), Mednick and Mednick (1967), Torrance (1974), and Wallach and Kogan (1965). Torrance, who developed the Torrance Tests of Creative Thinking, for example, reviewed 142 studies of which 103 had used the latter mentioned test as the criterion variable.

Other criteria have obviously been used and those thought to be relevant here will be briefly reviewed. Before beginning, it should be mentioned that some of the measures have been used both as predictors and criteria, but they will be discussed here solely in terms of their employment as criteria.

##### Subjective Ratings.

Teacher nominations of pupils is a commonly used criterion of creativity. Foster (1971); Piers, Danials, and Quackenbush (1960); Richards, Cline, and Needham (1964); and Yamamoto (1963) are representative of those efforts which have pursued this approach. Peer nominations, usually in a school setting, have been also used, but less frequently than teacher evaluations in the same environment. Torrance (1972); Foster (1971); Ried, King and Wickwire (1959) are exemplary of those who have used this approach. In industrial and office settings, supervisory ratings have been the most commonly used method of choosing creative employees. Mansfield and Busse (1981), previously cited, cover the majority of the studies which have used this approach.

##### Product Evaluations.

Finally, the amount of creativity shown by participants in some investigations has been evaluated on the basis of the products which they produce. For examples, see Brittain and Beitted (1964); Rookey (1974); Harmon (1963); and Foster (1971). With respect to the teacher/supervisory and peer methods of evaluations identified in the previous paragraph, most of investigations provided the rater with a set of criteria that were very similar to the dimensions which creativity tests

attempt to tap, e.g., fluency (lots of ideas), flexibility (many different ideas), inventiveness (inventing and developing ideas), originality (unique ideas), and elaboration (detailed ideas). Thus, such methodologies can be considered to be little more than an alternative form of a paper and pencil assessment tool. Such tools, as mentioned previously, have been shown to have little validity as criterion variables. Of the criteria identified above, product judgments would appear to have the most potential of providing a valid measure of creative production. This has not necessarily been the case in those investigations identified herein and elsewhere. Take, for example, Foster (1971). "Products" were developed as a function of specified generalized tasks, viz., sorting playing cards, creating mathematical equalities, working in a physical education class with and without equipment, playing charades with several pieces of equipment, writing a story, and listening to music and painting a picture of what the music brings to mind. The products of these tasks were then rated using guidelines which were very similar to those of the teacher/supervisor and peer evaluations, viz., fluency, flexibility, and originality. To this writer, these kinds of product evaluations do not provide meaningful criterion measures because such products do not have the potential for producing any meaningful outcomes. Nor were the tasks designed in any way so as to cause or force one to be clever or creative to come up with any solution. In other words, for some kinds of problems the generation of any solution which is workable is a very great challenge. More will be said later about the dimensions which are thought to be necessary for an appropriate criterion measure in this area of investigation.

#### DOMAIN SPECIALIZATION.

A parameter which has not been dealt with adequately in the literature on creativity is a lack of sensitivity on the part of the research community to the issue of the domain or area of specialization under investigation. As Barron and Harrington (1981) state with respect to the Divergent Thinking ability: "Until greater attention is paid to the matching of Divergent Thinking tests to relevant domains, attempts to validate Divergent Thinking tests will proceed in an essentially shotgun fashion". This is true of any other measures one might choose as predictors. This statement is generally true about the research area under investigation here. However, there have been those who have been sensitive to this issue and, in doing so, have come up with some interesting findings. For example, Cattell (1971) has found over the course of several studies that creative scientists tend to be more emotionally stable, venturesome, and self-assured than the average individual, whereas creative artists and writers tend to be less stable, less venturesome, and more guilt prone. There is a question with respect to this issue, however, which is whether someone can be trained to be a more effective problem solver regardless of domain, provided the individual possesses a knowledge base extensive enough to allow for any meaningful solutions to be developed. In other words and

in terms of the Artificial Intelligence community, it may be that there are those who possess an "inference engine" consisting of both cognitive and other than cognitive components which would produce creative and/or effective solutions to problems providing an extensive enough knowledge base is available from any domain. In considering this question, the importance of the definition of "domain" becomes critical. As considered here it is broad, yet specific. It is not tenable, for example, on average, to surmise that a good scientist would make a good artist. However, it is not unreasonable to conclude that a creative chemist could also be a creative physicist, provided that the chemist is well grounded in physics. A fundamental question, then, is whether or not some individuals are, on average, just better problem solvers than others. Such differences should manifest themselves in the everyday lives of these individuals regardless of their professional field of specialization. For it may be as Francis Cartier (quoted in Parnes and Brunelle, 1967) attests that there is no such thing as creative thinking -- that there is only thinking; but thinking occurs so seldom, he argued, that when it does we call it creative.

#### CREATIVITY TRAINING.

As was the case in reviewing the literature on creativity in general, it will not be possible here to accomplish an exhaustive review. Those studies most germane to the effort proposed herein will be the ones to receive attention. It should also be mentioned that because creativity training is a subset of the area of creativity research at large, there will be some overlap between the material reviewed previously and that which is presented in this section. Indeed, the creative training literature can be broken down into two basic categories which mirror the breakout of "predictor" variables described above with the exception of "personality" which was not an explicit target of training in the programs reviewed. There are, thus, two generic types of creativity training programs which have been developed, viz., those dealing with enhancing abilities and those designed to enhance process. Personality and/or attitude change was included as a part of some of the programs reviewed and this aspect will be noted where appropriate. These two types of training are reviewed below and this section is concluded with a summary of those findings and considerations most relevant to the current proposed effort.

#### Creative Abilities Training.

Of the programs falling within this category, three have been used and evaluated most frequently. These include "The Productive Thinking Program", "The Purdue Creative Thinking Program", and the "Meyers-Torrance Workbooks". Each of these will be reviewed briefly, in turn, below.

"The Productive Thinking Program".

This program was developed by Covington, Crutchfield, Davies, and Olton (1974). It is a self instructional program designed for fifth- and sixth-grade students. Its intent is to develop creative problem solving abilities and favorable attitudes toward problem solving. The program consists of fifteen booklets and uses a cartoon format to provide instruction and practice in problem solving skills. The focus of these materials appears to be almost exclusively on development of divergent thinking. Fluency, flexibility, and evaluation also seem to be capabilities which this program addresses.

This program has been both used and evaluated extensively. Representative examples of investigations of the latter mentioned variety include Covington and Crutchfield (1965), Ripple and Dacey (1967), Dacey (1971), Triffinger and Ripple (1970), Shively et. al. (1972), Triffinger (1971), and Triffinger, Speedie, and Brunner (1974). The results obtained in these evaluations and others provide some evidence for the effectiveness of the program. This is true when criterion measures used were similar, if not identical to, the types of materials contained within the program itself, e.g., the Minnesota Tests of Creative Thinking" and "Torrance's Tests of Creative Thinking" have been commonly used criterion measures. The results obtained with criteria dissimilar to the training materials have been, at best, mixed, making it very unclear as to whether the training would carry over to real life situations. This is especially true because the largest effects have often been found with studies employing small samples and/or those which have serious methodological limitations.

#### "The Purdue Creative Thinking Program".

This program was developed by Feldman, Speedie and Treffinger (1971). Its target for instruction is fourth-grade students and it is designed primarily to teach the divergent thinking abilities of verbal and figureal fluency, flexibility, originality, and elaboration. The program consists of 28 audiotapes which are accompanied by printed exercises. The first part of each tape consists of a three to four minute presentation about creative thinking which stresses its value and makes specific suggestions about how it can be improved. This is followed by a ten minute story about a famous American pioneer. A printed practice exercise accompanies each tape.

This program has been evaluated by at least five investigators. These include evaluations conducted by Bahlke (1969), Feldhusen, Treffinger and Thomas (1971), Alencar et. al. (1976), Shively et. al. (1972), and Treffinger (1971). All of these investigations produced results providing very minimal support for the effectiveness of this program. This was true regardless of the methodological sophistication of the study or the size of the sample used. As was the case with the program outlined above, all criterion measures used involved a test as opposed to some criterion with any demonstrated external validity.

### "The Myers-Torrance Workbooks".

This program was developed by Torrance (1964, 1965a, 1965b, 1966a, 1966b). As implied by the name, it consists of a set of workbooks designed to foster creativity in elementary school children. These workbooks contain instruction and exercises which are designed to increase divergent thinking abilities in a progressive fashion as the student proceeds through the set of lessons.

A number of investigations of this program's effectiveness have been accomplished. These include those conducted by Britton (1967), Cherry (1973), Freiheit (1969), and Woodliffe (1970). Others have been conducted and are cited by Rose and Lin (1984). There is a paucity of well designed investigations of the effectiveness of this program. It is surmised that in those instances where some improvement of divergent thinking was shown, it was a function of having practiced on items very similar to those on the criterion test. Thus, very little evidence exists which indicates that the Myers-Torrance workbooks improve performance on measures substantially different from those used in the exercises.

### Creative Process Training.

A number of programs have been developed which focus more on the training of creativity as a process rather than an ability per se. In other words, the programs falling under this rubric are not a derivative of the Guilford or Cattell theoretical schools. They fall more in the camp of those who have pursued the investigations of the influence of cognitive style and brain hemisphereisity on problem solving capabilities. Examples of training programs emphasizing process which have been rather extensively used will be presented below. Data on the effectiveness of the program will be presented when it is available.

### "The Parnes Program".

This program was developed by Parnes (1967) based, in part, on previous work by Osborn (1963). The process of brainstorming or the idea generation process is separated from the idea evaluation process as a major distinguishing feature of this program. Brainstorming participants are encouraged to state any ideas that come to mind, regardless of how "wild" or impractical the idea might seem and no evaluation or criticism is permitted until after all the ideas have been produced.

A number of evaluations of this programs effectiveness have been undertaken. These include those of Medows and Parnes (1959), Parnes and Medows (1959), Parnes and Medows (1960), Noller and Parnes (1972), and Reese et. al. (1976). Even though most of these evaluations have been rather severely methodologically flawed, there is evidence to indicate program impact for those criterion measures used. Criteria which have been investigated include such things as Guilford's Structure-

of- the- Intellect operations of cognition, divergent production, and convergent production. Experimentals relative to controls in these studies also tended to show higher scores on the California Psychological Inventory for "fluency", "originality", "elaboration", "sensitivity", and "dominance". Thus, the Parnes Program seemed to have an impact on some personality dimensions in addition to cognitive functioning.

#### "Khatena's Training Method".

Khatena (1971) and Khatena and Dickerson (1973) have developed a training program which provides instruction and practical exercises involving five creative thinking strategies. These are: breaking away from the obvious and commonplace; transposition; analogy; restructuring; and synthesis. Variations of this program exist for children and adults and the time required for training ranges from two 60 minute sessions to nine 40 minute sessions.

For the most part, as was the case with Parnes, Khatena and his associates have performed the evaluations to assess the program's effectiveness. Originality tests (Khatena, 1970), self-report "creativity checklists" (Khatena, 1973), Torrance Tests of Creative Thinking (Khatena, 1971 and Khatena and Dickerson, 1973) are the primary criterion measures which have been used. The investigations cited have produced some evidence indicating that this program does produce increases in originality scores for both children and adults. This has been attributed to the provision for extensive practice called for by this method. The data indicate at least four hours of practice may be necessary to produce improvement in the originality criterion measure.

#### "Basadur's Training in Creative Problem Solving".

This program addresses the "complete creative problem-solving process". It was developed by Basadur, Graen, and Green (1982) for use in an industrial setting. It consists of instruction and exercises structured around a three stage "creativity" model. These three stages consist of "problem finding", "problem solving", and "solution implementation". Each of these phases involves two processes which are kept separate, viz., "ideation" and "evaluation". Thus, these processes correspond to those stressed in the Parne's Program discussed above. The training was designed to be experiential, e.g., participants were encouraged to attempt to discover concepts not considered before and to discuss their ideas with other participants doing the same thing. This permitted the participants to experience the range of solutions which could and did emerge. Thus, divergence in thinking, reserving judgement on ideas until they are fully developed, and "learning by doing" were attributes of the program which were stressed. Also, the participants were required to develop an implementation strategy for some real world problem which they had considered during the training.

Those authors cited conducted an evaluation of their own program. A variety of person attribute measures, e.g., tolerance for ambiguity and preference for the use of intuition versus sensation in problem solving, were examined in relation to criterion measures such as supervisor's ratings of improvement in problem solving abilities. Overall results indicate the program is effective in changing attitudinal measures of participants relative to controls and that selected person attributes, e.g., tolerance for ambiguity, are related to supervisory ratings of effectiveness.

"The Williams Stockmeyer Program".

Williams, Stockmeyer, and Williams (1984) developed this program. It is designed to teach individuals to become more creative in their thinking through the use of a framework which is consistent with the hypothesized roles of right and left brain hemispherical functioning. More specifically, this program seeks to train participants to be capable of utilizing both right and left brain functions in problem solving and to be versatile enough to be applied to a wide variety of problems. Thus, the program is directed toward equipping individuals to be more productive in their thinking, regardless of content area. The program consists of a series of steps which require a subject to perform specific operations for which the left and right brain is presumably specialized. For example, steps focusing on left brain operations address sharpening analytical, logic, and judgement/evaluative skills, while those focusing on right brain operations deal with visual, perceptual and emotional information. Also part of the instruction addresses developing the capability to switch from right to left and left to right cerebral function processing so as to develop the capability for iterative problem solving.

The developers believe that the element of cerebral specialization built into the system prompts participants to make the left and right brain switches thought to be requisite for creative cognitive production. The authors of the publication cited in the last paragraph evaluated their program with adult subjects who were required to develop a "creative" solution to a verbal problem. By and large, the results they obtained with the program were significantly better than those yielded with an alternative approach (brainstorming) designed to accomplish the same purpose. It was concluded, however, that these results needed to be validated further before one could place any real faith in the effectiveness of the program. It is interesting to note that the subjective evaluation criterion used to evaluate participants' performance involved the degree of concreteness-abstractness of the response. The authors, thus, believe that degree of abstractness of response is associated with the capability to be creative and they associate the degree of abstractness one is capable of displaying as being dependent on the "critical role of the right brain", i.e., the individual's ability to make active and effective use of the more holistic and, in some ways, more primitive functioning of the right brain.

## "SYNECTICS".

Synectics, a Greek word meaning the joining together of different and apparently irrelevant elements, was not conceived of as a "program" for training or teaching someone to increase their cognitive production capacities (Gordon, 1961). Rather, it was a program of research whose objective was to develop an operational concept of human creativity and to test the concept. The latter mentioned sub-objectives were actually pursued in parallel. This is to say that actual problems, needs or requirements from industry served as the focal point for the problem solving activities of work groups. Parameters of the group and the methods they employed (both those consciously and unconsciously applied) were recorded. The criterion measure in all cases was whether or not the group solved the problem and, if so, how well. Needless to say, this research process was qualitative rather than quantitative in approach. Some of the "principles" which were discovered through their iterative methodological process are of interest and that is the reason for including them in this review here.

One principle which was found to be effective was that groups are more productive at problem solving than are individuals working alone. A second finding is that the group must be willing to operate on a more or less non-rational basis. In other words, they must avoid trying always to express rational and completed concepts. When an idea is expressed after being completely worked out it is either acceptable as true or unacceptable as untrue. Thus, ultimate (if there are such things) solutions are rational; the process of finding them is not. A third finding is that the group context increases individual "daring" or one could say the self-confidence of members. This was found to be important because in order to develop new ideas, it is necessary to abandon familiar ways of looking at things even to the point of being able to transcend one's image of oneself. To do this involves psychological risk and the group provides the security which can allow this to happen.

The backgrounds of the group members was another factor which seemed important to effective problem solving. Diversity of backgrounds was found to be highly useful. Thus, various combinations of painters, sculptors, mathematicians, mechanical engineers, architects, electrical engineers, musicians, etc., were the types of people who were used to constitute problem solving groups. The purpose was to integrate people of opposing personality and differing academic backgrounds, under the assumption that the general level of novelty (as opposed to marginal improvements) depends on the widest variety of skill, knowledge, and interest being brought to bear. An obvious problem in doing this is to draw interaction and constructive communication from people whose difficulty in understanding one another could lead to mistrust. Methods of doing this were worked out.

It was found that the most important criterion for the selection of group members was emotional constitution as opposed to intellectual background. "Emotional constitution" refers to the way a person attacks a problem. For example, does he thunder in or circle around? In the face of apparent defeat, is he/she passive or does he/she aggressively strive for success? Another way of saying this is that better group members were those who were mature and displayed patience and respect vis-a-vis other group members. This insures that the posturing and self-aggrandizement which is characteristic of emotionally immature individuals does not disrupt the group and deflect attention away from the problem solving goal.

Implementation is the final principle which will be discussed here. This involves the development of an actual working model of the concept which the group has evolved. It was observed that unless the group experienced "getting dirty" by actively implementing its conception, the program was actually threatened with incompleteness and impotence because the groups' activities would become limited to overly abstract discussions. In other words, actually having to implement a concept in prototype form keeps the group on a practical footing. This is the pragmatic criterion.

#### Creativity Training: Summary

The materials presented in this section indicate that it appears to be possible to increase an individual's capability to be "creative" or an effective problem solver. It would appear that more success has been achieved in doing this when "process" has been the focus of training as opposed to attempts to enhance abilities thought to be related to creative production. Also, the evidence presented suggests that cognitive production or the process variables one might use to enhance the latter are not the only parameters involved in successfully increasing an individual's capabilities. It appears that some personality variables may be involved as suggested by the experimentation designed to evaluate the Parnes Program and the "research" conducted by the SYNECTICS Group. In terms of the Parnes Program, it appeared that some facets of the self other than cognitively related ones changed as a function of undergoing the instruction. In the case of the SYNECTICS research, personality was recognized as an important parameter and was used as a selection variable for work group membership.

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